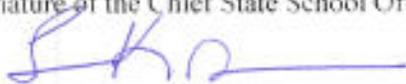
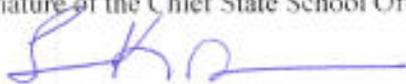


APPLICATION COVER SHEET  
SCHOOL IMPROVEMENT GRANTS

<p>Legal Name of Applicant: Utah State Office of Education</p>	<p>Applicant's Mailing Address: 250 East 500 South PO Box 144200 Salt Lake City, UT 84114-4200</p>
<p>State Contact for the School Improvement Grant</p> <p>Name: Karl A. Wilson</p> <p>Position and Office: Director, Title I and Federal Programs</p> <p>Contact's Mailing Address: Utah State Office of Education 250 East 500 South PO Box 144200 Salt Lake City, UT 84114-4200</p> <p>Telephone: 801-538-7509</p> <p>Fax: 801-538-7804</p> <p>Email address: karl.wilson@schools.utah.gov</p>	
<p>Chief State School Officer (Printed Name): Larry K. Shumway, Ed.D.</p>	<p>Telephone: 801-538-7500</p>
<p>Signature of the Chief State School Officer: X </p>	<p>Date: November 30, 2010</p>
<p>The State, through its authorized representative, agrees to comply with all requirements applicable to the School Improvement Grants program, including the assurances contained herein and the conditions that apply to any waivers that the State receives through this application.</p>	

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# School Improvement Grants Application

## Section 1003(g) of the Elementary and Secondary Education Act

Fiscal Year 2010

CFDA Number: 84.377A

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**State Name:Utah**



U.S. Department of Education  
Washington, D.C. 20202



OMB Number: 1810-0682  
Expiration Date: September 30, 2013

### Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1810-0682. The time required to complete this information collection is estimated to average 100 hours per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4537.



# SCHOOL IMPROVEMENT GRANTS

## **Purpose of the Program**

School Improvement Grants (SIG), authorized under section 1003(g) of Title I of the Elementary and Secondary Education Act of 1965 (Title I or ESEA), are grants to State educational agencies (SEAs) that SEAs use to make competitive subgrants to local educational agencies (LEAs) that demonstrate the greatest need for the funds and the strongest commitment to use the funds to provide adequate resources in order to raise substantially the achievement of students in their lowest-performing schools. Under the final requirements published in the *Federal Register* on October 28, 2010 (<http://www.gpo.gov/fdsys/pkg/FR-2010-10-28/pdf/2010-27313.pdf>), school improvement funds are to be focused on each State's "Tier I" and "Tier II" schools. Tier I schools are the lowest-achieving 5 percent of a State's Title I schools in improvement, corrective action, or restructuring, Title I secondary schools in improvement, corrective action, or restructuring with graduation rates below 60 percent over a number of years, and, if a State so chooses, certain Title I eligible (and participating) elementary schools that are as low achieving as the State's other Tier I schools ("newly eligible" Tier I schools). Tier II schools are the lowest-achieving 5 percent of a State's secondary schools that are eligible for, but do not receive, Title I, Part A funds, secondary schools that are eligible for, but do not receive, Title I, Part A funds with graduation rates below 60 percent over a number of years, and, if a State so chooses, certain additional Title I eligible (participating and non-participating) secondary schools that are as low achieving as the State's other Tier II schools or that have had a graduation rate below 60 percent over a number of years ("newly eligible" Tier II schools). An LEA also may use school improvement funds in Tier III schools, which are Title I schools in improvement, corrective action, or restructuring that are not identified as Tier I or Tier II schools and, if a State so chooses, certain additional Title I eligible (participating and non-participating) schools ("newly eligible" Tier III schools). (See Appendix B for a chart summarizing the schools included in each tier.) In the Tier I and Tier II schools an LEA chooses to serve, the LEA must implement one of four school intervention models: turnaround model, restart model, school closure, or transformation model.

## **Availability of Funds**

The Department of Education Appropriations Act, 2010, provided \$546 million for School Improvement Grants in fiscal year (FY) 2010. In addition, the U.S. Department of Education (Department) estimates that, collectively, States have carried over approximately \$825 million in FY 2009 SIG funds that will be combined with FY 2010 SIG funds, for a total of nearly \$1.4 billion that will be awarded by States as part of their FY 2010 SIG competitions.

FY 2010 school improvement funds are available for obligation by SEAs and LEAs through September 30, 2012.

## **State and LEA Allocations**

Each State (including the District of Columbia and Puerto Rico), the Bureau of Indian Education, and the outlying areas are eligible to apply to receive a School Improvement Grant. The Department will allocate FY 2010 school improvement funds in proportion to the funds received in FY 2010 by the States, the Bureau of Indian Education, and the outlying areas under Parts A, C, and D of Title I of the ESEA. An SEA must allocate at least 95 percent of its school improvement funds directly to LEAs in accordance with the final requirements (<http://www.gpo.gov/fdsys/pkg/FR-2010-10-28/pdf/2010-27313.pdf>). The SEA may retain an amount not to exceed five percent of its allocation for State administration, evaluation, and technical assistance.

Appendix A provides guidance on how SEAs can maximize the number of Tier I and Tier II schools its LEAs can serve with FY 2009 carryover and FY 2010 SIG funds when making their LEA allocations for the FY 2010 competition. See Appendix A for a more detailed explanation.

## **Consultation with the Committee of Practitioners**

Before submitting its application for a SIG grant to the Department, an SEA must consult with its Committee of Practitioners established under section 1903(b) of the ESEA regarding the rules and policies contained therein. The Department recommends that the SEA also consult with other stakeholders, such as potential external providers, teachers' unions, and business, civil rights, and community leaders that have an interest in its application.

# FY 2010 Submission Information

## **Electronic Submission:**

The Department strongly prefers to receive an SEA's FY 2010 School Improvement Grant (SIG) application electronically. The application should be sent as a Microsoft Word document, not as a PDF.

The SEA should submit its FY 2010 application to the following address: [school.improvement.grants@ed.gov](mailto:school.improvement.grants@ed.gov)

In addition, the SEA must submit a paper copy of the cover page signed by the SEA's authorized representative to the address listed below under "Paper Submission."

## **Paper Submission:**

If an SEA is not able to submit its application electronically, it may submit the original and two copies of its SIG application to the following address:

Carlas McCauley, Education Program Specialist  
Student Achievement and School Accountability Programs  
U.S. Department of Education  
400 Maryland Avenue, SW, Room 3W320  
Washington, DC 20202-6132

Due to potential delays in government processing of mail sent through the U.S. Postal Service, SEAs are encouraged to use alternate carriers for paper submissions.

## **Application Deadline**

Applications are due on or before December 3, 2010.

## **For Further Information**

If you have any questions, please contact Carlas McCauley at (202) 260-0824 or by e-mail at [carlas.mccauley@ed.gov](mailto:carlas.mccauley@ed.gov).

# **FY 2010 Application Instructions**

**Most of the FY 2010 SIG application is identical to the FY 2009 application. A new section for additional evaluation criteria (Section B-1) has been added and Section H on Waivers has been expanded. Section D on Descriptive Information (Section D – Part 1, Section D – Parts 2-8) has also been reformatted into two separate sections for the FY 2010 application, but all other parts of the application remain the same.**

**Consequently, except as provided below, an SEA must update only those sections that include changes from the FY 2009 application. In particular, the Department expects that most SEAs will be able to retain Section B on Evaluation Criteria, Section C on Capacity, and Section D (parts 2-8) on Descriptive Information, sections that make up the bulk of the SIG application. An SEA has the option to update any of the material in these sections if it so desires.**

**We are requiring SEAs to update some sections of the SIG application to ensure that each SEA focuses its FY 2010 SIG funds, including any funds carried over from FY 2009, on serving its persistently lowest-achieving schools in LEAs with the capacity and commitment to fully and effectively implement one of the four required school intervention models beginning in the 2011-2012 school year.**

**Note that while an SEA may be able to submit significant portions of its FY 2010 SIG application unchanged from FY 2009, we recommend that it review all sections of the FY 2010 application to ensure alignment with any required changes or revisions.**

**SEAs should also note that they will only be able to insert information in designated spaces (form fields) in the application because of formatting restrictions. Clicking on a section of the application that is restricted will automatically jump the cursor to the next form field which may cause users to skip over information in the application. Users may avoid this issue by using the scroll bar to review the application. However, due to these restrictions, the Department recommends that SEAs print a copy of the application and review it in its entirety before filling out the form.**

**APPLICATION COVER SHEET**  
**SCHOOL IMPROVEMENT GRANTS**

Legal Name of Applicant: Utah State Office of Education	Applicant's Mailing Address: 250 East 500 South PO Box 144200 Salt Lake City, UT 84114-4200
State Contact for the School Improvement Grant  Name: Karl A. Wilson  Position and Office: Director, Title I and Federal Programs  Contact's Mailing Address: Utah State Office of Education 250 East 500 South PO Box 144200 Salt Lake City, UT 84114-4200  Telephone: 801-538-7509  Fax: 801-538-7804  Email address: karl.wilson@schools.utah.gov	
Chief State School Officer (Printed Name): Larry K. Shumway, Ed.D.	Telephone: 801-538-7500
Signature of the Chief State School Officer:  X _____	Date: November 30, 2010
The State, through its authorized representative, agrees to comply with all requirements applicable to the School Improvement Grants program, including the assurances contained herein and the conditions that apply to any waivers that the State receives through this application.	

# FY 2010 Application Checklist

**Please use this checklist to serve as a roadmap for the SEA's FY 2010 application.**

Please note that an SEA's submission for FY 2010 must include the following attachments, as indicated on the application form:

- Lists, by LEA, of the State's Tier I, Tier II, and Tier III schools.
- A copy of the SEA's FY 2010 LEA application form that LEAs will use to apply to the SEA for a School Improvement Grant.
- If the SEA seeks any waivers through its application, a copy of the notice it provided to LEAs and a copy of any comments it received from LEAs as well as a copy of, or link to, the notice the SEA provided to the public.

**Please check the relevant boxes below to verify that all required sections of the SEA application are included and to indicate which sections of the FY 2010 application the SEA has revised from its FY 2009 application.**

<b>SECTION A: ELIGIBLE SCHOOLS</b>	<input checked="" type="checkbox"/> Definition of "persistently lowest-achieving schools" (PLA schools) is same as FY 2009	<input type="checkbox"/> Definition of "persistently lowest-achieving schools" (PLA schools) is revised for FY 2010
	<i>For an SEA keeping the same definition of PLA schools, please select one of the following options:</i> <input type="checkbox"/> SEA will not generate new lists of Tier I, Tier II, and Tier III schools because it has five or more unserved Tier I schools from FY 2009 (SEA is requesting waiver) <input type="checkbox"/> SEA must generate new lists of Tier I, Tier II, and Tier III schools because it has less than five unserved Tier I schools from FY 2009 <input checked="" type="checkbox"/> SEA elects to generate new lists	<i>For an SEA revising its definition of PLA schools, please select the following option:</i> <input type="checkbox"/> SEA must generate new lists of Tier I, Tier II, and Tier III schools because it has revised its definition
	<input checked="" type="checkbox"/> Lists, by LEA, of State's Tier I, Tier II, and Tier III schools provided	
<b>SECTION B: EVALUATION CRITERIA</b>	<input checked="" type="checkbox"/> Same as FY 2009	<input type="checkbox"/> Revised for FY 2010
<b>SECTION B-1: ADDITIONAL EVALUATION CRITERIA</b>	<input checked="" type="checkbox"/> Section B-1: Additional evaluation criteria provided	
<b>SECTION C: CAPACITY</b>	<input checked="" type="checkbox"/> Same as FY 2009	<input type="checkbox"/> Revised for FY 2010
<b>SECTION D (PART 1): TIMELINE</b>	<input checked="" type="checkbox"/> Updated Section D (Part 1): Timeline provided	
<b>SECTION D (PARTS 2-8): DESCRIPTIVE INFORMATION</b>	<input checked="" type="checkbox"/> Same as FY 2009	<input type="checkbox"/> Revised for FY 2010
<b>SECTION E: ASSURANCES</b>	<input checked="" type="checkbox"/> Updated Section E: Assurances provided	
<b>SECTION F: SEA RESERVATION</b>	<input checked="" type="checkbox"/> Updated Section F: SEA reservations provided	
<b>SECTION G: CONSULTATION WITH STAKEHOLDERS</b>	<input checked="" type="checkbox"/> Updated Section G: Consultation with stakeholders provided	
<b>SECTION H: WAIVERS</b>	<input checked="" type="checkbox"/> Updated Section H: Waivers provided	

## PART I: SEA REQUIREMENTS

As part of its application for a School Improvement Grant under section 1003(g) of the ESEA, an SEA must provide the following information.

**A. ELIGIBLE SCHOOLS:** An SEA must provide a list, by LEA, of each Tier I, Tier II, and Tier III school in the State. (A State's Tier I and Tier II schools are its persistently lowest-achieving schools and, if the SEA so chooses, certain additional Title I eligible schools that are as low achieving as the State's persistently lowest-achieving schools or that have had a graduation rate below 60 percent over a number of years.) In providing its list of schools, the SEA must indicate whether a school has been identified as a Tier I or Tier II school solely because it has had a graduation rate below 60 percent over a number of years. In addition, the SEA must indicate whether it has exercised the option to identify as a Tier I, Tier II, or Tier III school a school that was made newly eligible to receive SIG funds by the Consolidated Appropriations Act, 2010.

Each SEA must generate new lists of Tier I, Tier II, and Tier III schools based on the State's most recent achievement and graduation rate data to ensure that LEAs continue to give priority to using SIG funds to implement one of the four school intervention models in each of their persistently lowest-achieving schools, rather than using SIG funds to support less rigorous improvement measures in less needy schools. However, any SEA that has five or more Tier I schools that were identified for purposes of the State's FY 2009 SIG competition but are not being served with SIG funds in the 2010-2011 school year may apply for a waiver of the requirement to generate new lists.

An SEA also has the option of making changes to its FY 2009 definition of "persistently lowest-achieving schools". An SEA that exercises this option must generate new lists of Tier I, Tier II, and Tier III schools.

Regardless of whether it modifies its definition of "persistently lowest-achieving schools" or generates new lists, along with its lists of Tier I, Tier II, and Tier III schools, an SEA must provide the definition that it used to develop these lists. The SEA may provide a link to the page on its Web site where its definition is posted, or it may attach the complete definition to its application.

<input checked="" type="checkbox"/> Definition of “persistently lowest-achieving schools” (PLA schools) is same as FY 2009	<input type="checkbox"/> Definition of “persistently lowest-achieving schools” (PLA schools) is revised for FY 2010
<p><i>For an SEA keeping the same definition of PLA schools, please select one of the following options:</i></p> <p><input type="checkbox"/> 1. SEA will not generate new lists of Tier I, Tier II, and Tier III schools. SEA has five or more unserved Tier I schools from FY 2009 and is therefore eligible to request a waiver of the requirement to generate new lists of schools. Lists and waiver request submitted below.</p> <p><input type="checkbox"/> SEA is electing not to include newly eligible schools for the FY 2010 competition. (Only applicable if the SEA elected to add newly eligible schools in FY 2009.)</p> <p><input type="checkbox"/> 2. SEA must generate new lists of Tier I, Tier II, and Tier III schools because it has fewer than five unserved Tier I schools from FY 2009. Lists submitted below.</p> <p><input checked="" type="checkbox"/> 3. SEA elects to generate new lists. Lists submitted below.</p>	<p><i>For an SEA revising its definition of PLA schools, please select the following option:</i></p> <p><input type="checkbox"/> 1. SEA must generate new lists of Tier I, Tier II, and Tier III schools because it has revised its definition of “persistently lowest-achieving schools.” Lists submitted below.</p>

**Insert definition of “persistently lowest-achieving schools” or link to definition of “persistently lowest-achieving schools” here:**

**Utah Definition of Persistently Lowest-Achieving Schools:**

**Tier I Schools:**

- Title I Served School;
- Identified in Need of Improvement, Corrective Action, or Restructuring under Title I; and
- Lowest 5% or 5 Schools, whichever is greater (in Utah - lowest 5 schools). Utah has no Title I high schools identified as in Need of Improvement, Corrective Action, or Restructuring. Thus, no Title I secondary schools with a graduation rate less than 60% are

included in Tier I. Utah used the reading/language arts and mathematics achievement scores combined for the “all students” group over a four year average to determine its lowest-performing schools for Tier I. The State of Utah also reviewed expected progress for each of its schools based on the Utah Performance Assessment System for Students (U-PASS) scores averaged for the most recent three years. None of the schools identified had achieved the minimum expected score of 180 (which is defined as one year of growth). This same process applies to the Tier I Newly Eligible Schools.

**Tier I Newly Eligible Schools:**

- Title I Eligible (Served or Not) Elementary School;
- 4-Year Average Reading/Language Arts and Math Proficiency (2006-07, 2007-08, 2008-09, 2009-10) in lowest quintile [for Utah: equal to or lower than the lowest performing school in Tier 1 (Dual Immersion at 42% proficiency)]; **Note: USOE elected to use a subset of lowest performing elementary schools so that the neediest schools could be served;** and
- Not making expected progress (At least 180 on Utah Performance Assessment System for Students (UPASS) Progress Score – 3-year average from years 2007-08, 2008-09, 2009-10). The state of Utah did not weight “all student” group compared with subgroups.

**Tier II Schools:**

- Title I Eligible, but not served Secondary School:
    - Lowest 5% or 5 Schools, whichever is greater (in Utah - lowest 5% of schools equals seven (7) schools). Utah used the reading/language arts and mathematics achievement scores combined for the “all students” group over a four year average to determine its lowest-performing schools for Tier II. The State of Utah also reviewed expected progress for each of its schools based on the Utah Performance Assessment System for Students (U-PASS) scores averaged for the most recent three years. None of the schools identified had achieved the minimum expected score of 180 (which is defined as one year of growth). This same process applies to the Tier II Newly Eligible Schools.
- OR
- Less than 60% graduation rate (Utah has no high schools identified as Tier II solely as a result of a graduation rate of less than 60%). Utah uses a cohort graduation rate for this definition. Utah reviewed the graduation data for the most recent three years in making these determinations.

**Tier II Newly Eligible Schools:**

- Title I Eligible (Served or Not) Secondary School:
  - 4-Year Average Reading/Language Arts and Math Proficiency in lowest quintile [for Utah: equal to or lower than the lowest performing school in Tier I (Dual Immersion Academy at 42% proficiency)];
  - Not making expected progress (Utah measure of expected progress is a score of at least 180 on UPASS Progress Score –3-year average from years 2007-08, 2008-09, 2009-10).);

OR

- Graduation Rate less than 60%. Utah uses a cohort graduation rate for this definition. Utah reviewed the graduation data for the most recent three years in making these determinations.

**Tier III Schools:**

- Title I Served School; and
- Identified in Need of Improvement, Corrective Action, or Restructuring under Title I, but not in Tier I.

**Tier III Newly Eligible Schools:**

- Title I Eligible (Served or Not) elementary school;
- 4-Year Average Reading/Language Arts and Math Proficiency in lowest quintile [for Utah: Higher than the lowest Tier I school (Dual Immersion Academy at 42% proficiency) and equal to or lower than the highest performing school in Tier I (Oquirrh Hills Elementary at 64% proficiency)]; **Note: USOE elected to use a subset of lowest performing elementary schools so that the neediest schools could be served;** and
- Not making expected progress (At least 180 on UPASS Progress Score – 3-year average from years 2007-08, 2008-09, 2009-10).

**NOTE 1:** Utah did not exclude any categories of schools in the identification of eligible schools in Tier I, Tier II, or Tier III.

**NOTE 2:** Utah had several very small rural schools that were considered as lowest-achieving, but in consultation with the Assessment and Accountability Department, it was determined that none of these small, rural schools had sufficient number of students or test scores to make a valid determination of performance. These schools were excluded because insufficient data were available to make an eligibility determination.

An SEA must attach two tables to its SIG application. The first table must include its lists of all Tier I, Tier II, and Tier III schools that are eligible for FY 2010 SIG funds. The second table must include its lists of all Tier I, Tier II, and Tier III schools that were served with FY 2009 SIG funds.

Please create these two tables in Excel and use the formats shown below. Examples of the tables have been provided for guidance.

SCHOOLS ELIGIBLE FOR FY 2010 SIG FUNDS								
LEA NAME	LEA NCES ID #	SCHOOL NAME	SCHOOL NCES ID#	TIER I	TIER II	TIER III	GRAD RATE	NEWLY ELIGIBLE <sup>1</sup>

SCHOOLS SERVED WITH FY 2009 SIG FUNDS							
LEA NAME	LEA NCES ID #	SCHOOL NAME	SCHOOL NCES ID#	TIER I	TIER II	TIER III	GRAD RATE

**EXAMPLE:**

SCHOOLS ELIGIBLE FOR FY 2010 SIG FUNDS								
LEA NAME	LEA NCES ID #	SCHOOL NAME	SCHOOL NCES ID#	TIER I	TIER II	TIER III	GRAD RATE	NEWLY ELIGIBLE
LEA 1	##	HARRISON ES	##	X				
LEA 1	##	MADISON ES	##	X				
LEA 1	##	TAYLOR MS	##			X		X
LEA 2	##	WASHINGTON ES	##	X				
LEA 2	##	FILLMORE HS	##			X		
LEA 3	##	TYLER HS	##		X		X	
LEA 4	##	VAN BUREN MS	##	X				
LEA 4	##	POLK ES	##			X		

<sup>1</sup> “Newly Eligible” refers to a school that was made eligible to receive SIG funds by the Consolidated Appropriations Act, 2010. A newly eligible school may be identified for Tier I or Tier II because it has not made adequate yearly progress for at least two consecutive years; is in the State’s lowest quintile of performance based on proficiency rates on State’s assessments; and is no higher achieving than the highest-achieving school identified by the SEA as a “persistently lowest-achieving school” or is a high school that has a graduation rate less than 60 percent over a number of years. For complete definitions of and additional information about “newly eligible schools,” please refer to the FY 2010 SIG Guidance, questions A-20 to A-30.

**EXAMPLE:**

<b>SCHOOLS SERVED WITH FY 2009 SIG FUNDS</b>							
<b>LEA NAME</b>	<b>LEA NCES ID #</b>	<b>SCHOOL NAME</b>	<b>SCHOOL NCES ID#</b>	<b>TIER I</b>	<b>TIER II</b>	<b>TIER III</b>	<b>GRAD RATE</b>
LEA 1	##	MONROE ES	##	X			
LEA 1	##	JEFFERSON HS	##		X		X
LEA 2	##	ADAMS ES	##	X			
LEA 3	##	JACKSON ES	##	X			

**Please attach the two tables in a separate file and submit it with the application.**

**SEA has attached the two tables in a separate file and submitted it with its application.**

**B. EVALUATION CRITERIA:**

**Part 1:** The three actions listed in Part 1 are ones that an LEA must take prior to submitting its application for a School Improvement Grant. Accordingly, the SEA must describe, with specificity, the criteria the SEA will use to evaluate an LEA’s application with respect to each of the following actions:

- (1) The LEA has analyzed the needs of each Tier I and Tier II school identified in the LEA’s application and has selected an intervention for each school.
- (2) The LEA has demonstrated that it has the capacity to use school improvement funds to provide adequate resources and related support to each Tier I and Tier II school identified in the LEA’s application in order to implement fully and effectively the selected intervention in each of those schools.
- (3) The LEA’s budget includes sufficient funds to implement the selected intervention fully and effectively in each Tier I and Tier II school identified in the LEA’s application, as well as to support school improvement activities in Tier III schools, throughout the period of availability of those funds (taking into account any waiver extending that period received by either the SEA or the LEA).

**Part 2:** The actions in Part 2 are ones that an LEA may have taken, in whole or in part, prior to submitting its application for a School Improvement Grant, but most likely will take after receiving a School Improvement Grant. Accordingly, an SEA must describe the criteria it will use to assess the LEA’s commitment to do the following:

- (1) Design and implement interventions consistent with the final requirements.
- (2) Recruit, screen, and select external providers, if applicable, to ensure their quality.
- (3) Align other resources with the interventions.
- (4) Modify its practices or policies, if necessary, to enable it to implement the interventions fully and effectively.
- (5) Sustain the reforms after the funding period ends.

SEA is using the same evaluation criteria as FY 2009.

SEA has revised its evaluation criteria for FY 2010.

**Insert response to Section B Evaluation Criteria here:**

**Part I**

The actions listed in Part 1 are ones that an LEA must take prior to submitting its application for a School Improvement Grant. Accordingly, the SEA must describe, with specificity, the criteria the SEA will use to evaluate an LEA's application with respect to each of the following actions:

- (1) The LEA has analyzed the needs of each Tier I and Tier II school identified in the LEA's application and has selected an intervention for each school.

The state of Utah requires that any LEA making application for the School Improvement Grants 1003g must analyze the needs of each Tier I and Tier II school for which it applies that appears on the state's identified Tier I and Tier II list. Included in the analysis of each school, the LEA must consider the following:

- The percent of students scoring proficient in Reading/ Language Arts and Mathematics (LEAs are to consider both overall school and subgroup achievement);
- Trend data for both Reading/Language Arts and Mathematics (LEAs are to consider overall school and subgroup achievement);
- Demographic information relevant to the school's achievement in Reading/Language Arts and Mathematics;
- Contextual data for the school (attendance, graduation and dropout rates, discipline reports, parent and community surveys);
- Teacher information (teacher attendance, turnover rates, teaching assignments aligned with highly qualified teacher status, teacher education, experience, and performance evaluations);
- Administrator information (how long the administrator has been at the building, or the replacement of the principal as required in the Turnaround or Transformation models, administrator education, experience, and performance evaluations); and
- Effectiveness of prior school reform efforts.

Based on a thorough analysis of the data sources listed above, the LEA must:

- Identify the intervention model chosen for each school; and
- Provide the rationale for the model chosen for each school.

In reviewing LEA SIG applications, the USOE will use the Utah LEA SIG Grant Review Checklist Part I Section Descriptive Information pages 2 and 3. Only those LEA SIG applications that have combined multiple relevant data sources into a thoughtful analysis to **specifically and conclusively** justify the fit between the needs of the school and the intervention model chosen will be approvable.

- (2) The LEA has demonstrated that it has the capacity to use school improvement funds to provide adequate resources and related support to each Tier I and Tier II school identified in

the LEA's application in order to implement fully and effectively the selected intervention in each of those schools.

The LEA has identified how it will provide leadership and support to each Tier I and Tier II school identified in the LEA's application. The description must include the following information on how the LEA will successfully implement the school intervention model:

- Identify the LEA staff assigned to support implementation of the school intervention model;
- Identify the qualifications and relevant experience of the assigned LEA staff related to prior successful school improvement efforts;
- Describe how the LEA will provide ongoing technical assistance to make sure each school is successful;
- Identify the fiscal resources (state and federal) that the LEA will commit to implementation;
- Identify the process through which the LEA will involve the school/community;
- Describe how the local school board will be engaged to ensure successful implementation (including the prioritization or revision of appropriate board policies and allocation of resources);
- Describe how the LEA will evaluate the effectiveness of the reform strategies;
- Describe how the LEA will monitor student achievement by individual teacher/classrooms; and
- If student achievement results do not meet expected goals, describe how the LEA will assist in necessary plan revisions.

In reviewing LEA SIG applications, the USOE will use the Utah LEA SIG Grant Review Checklist Part I Descriptive Information page 5. Only those LEA SIG applications that provide thorough and specific descriptions of ALL of the LEA capacity criteria listed above will be approvable.

- (3) The LEA's budget includes sufficient funds to implement the selected intervention fully and effectively in each Tier I and Tier II school identified in the LEA's application as well as to support school improvement activities in Tier III schools throughout the period of availability of those funds (taking into account any waiver extending that period received by either the SEA or the LEA). **The LEA may apply for a minimum of \$50,000 per year per school for each of the three years of the grant up to a maximum of \$2,000,000 per year per school for each of the three years for a total of no more than \$6,000,000 over three years.**

The LEA budget included in the SIG application demonstrates that the LEA has allocated a reasonable amount for LEA support and school intervention model strategies. Quality budgets include the following:

- The LEA provides a budget for each of the three years of the grant;
- For each school included in the SIG application, the budget includes costs associated with the successful implementation of the intervention model selected (e.g. extended learning

time, professional development, teacher recruitment and retention);

- If the LEA plans to apply for SIG funds to support LEA efforts, the budget includes costs associated with LEA leadership and support of the school intervention models;
- The LEA budget includes costs for purchased professional services to ensure quality consultants to facilitate research-based reform;
- The budget detail provides sufficient information to support budget requests; and
- The LEA has considered any costs associated with program evaluation annually;
- The SEA will annually review each LEAs budget prior to renewal of the grant.

## **Part 2**

The actions in Part 2 are ones that an LEA may have taken, in whole or in part, prior to submitting its application for a School Improvement Grant but, most likely, will take after receiving a School Improvement Grant.

In reviewing the LEA applications, the SEA will use a detailed checklist based on the information requested in Part 2 of the application to determine LEA commitment to implementing SIG requirements.

(1) Design and implement interventions consistent with the final requirements.

The LEA must include in its SIG application information that describes how it will implement with fidelity each of the requirements associated with the intervention model(s) selected for its eligible schools. This information includes the following:

- Identification of the school(s) for which the LEA is making application;
- Identification of the intervention model for each participating school;
- Sufficient information describing how the LEA will successfully implement each requirement;
- Any steps already taken by the LEA to initiate school improvement efforts that align with SIG intervention models; and
- The LEA includes a timeline for implementation of the school intervention model.

(2) Recruit, screen, and select external providers, if applicable, to ensure their quality.

The LEA must include in its SIG application sufficient information describing how it will select and contract with proven external providers to support the LEA and the school(s) in the implementation of the intervention model(s). This includes the following:

- The LEA will declare whether it intends to contract with an external provider.
  - Chooses to contract with external providers:
    - A description of how the LEA will contract with an external provider, including a description of how the LEA will recruit, screen, and select

- external providers;
  - If the LEA has already selected an external provider, the LEA must provide evidence that the external provider has a demonstrated record of success; and
  - A narrative description and budget to support external provider contracts, if applicable.
- Chooses not to contract with external providers:
  - If the LEA has chosen not to contract with an external provider, the LEA must provide documentation that it has sufficient internal capacity to conduct a research-based school appraisal and facilitate the implementation of the intervention model.

In reviewing LEA SIG applications, the USOE will use the Utah LEA SIG Grant Review Checklist Part I Descriptive Information page 6 to evaluate the LEA's commitment to recruit, screen, and select external providers, if applicable. Only those LEA SIG applications that meet the external provider selection process criteria described below will be approvable:

- Detailed and relevant criteria for determining need for external provider contract and selecting external providers that take into account the specific needs of the Tier I and/or Tier II schools to be served by external providers. These criteria must include, but are not limited to:
  - Analysis of the LEA's capacity and operational needs.
  - Researching and prioritizing the external providers available to serve the school:
    - Available providers have been **thoroughly** researched.
    - Contact other LEAs currently or formerly engaged with the external provider regarding their experience and effectiveness.
    - The provider identified has a proven track record of success in working with **similar schools and/or student populations**. For example, success in working with high schools or English Language Learners.
  - Alignment between external provider services and existing LEA services:
    - The responsibilities of the external provider and the LEA are **clearly defined** and aligned.
  - The LEA has **specifically** planned how it will hold the external provider accountable to high performance standards.
  - The capacity of the external provider to serve the identified school has been **clearly demonstrated**.
- LEA provides a description of the reasonable and timely steps it will take to recruit and screen providers to be in place by the beginning of the 2010-2011 school year.

(3) Align other resources with the interventions.

The LEA SIG application must demonstrate that the LEA has committed other local, state, and federal resources to support successful implementation of the intervention model. A competitive

LEA SIG application **must** include the following information:

- A description of how LEA program personnel will collaborate to support student achievement and school reform;
- A list of the financial resources that will support the intervention model (e.g. local, state, federal funds, and other private grants, as appropriate); and
- A description of how each of the financial resources listed above will support the goals of the school reform effort in the improvement plan.

(4) Modify its practices or policies, if necessary, to enable it to implement the interventions fully and effectively.

The LEA SIG application **must demonstrate** that the LEA has identified potential practices and/or policies that may serve as barriers to successful implementation of intervention strategies. Competitive applications **must include** the following:

- A list of practices and/or policies that may serve as barriers to successful implementation;
- Proposed steps to modify identified practices and/or policies to minimize barriers;
- A procedure in place to identify and resolve future issues related to practices and/or policies; and
- Description of how the LEA will collaborate with key stakeholders to implement necessary changes (e.g. associations, administrators, local board of education).

In reviewing LEA SIG applications, the USOE will evaluate the LEA's commitment to modify its practices or policies, if necessary, to enable it to implement the interventions fully and effectively. Only those LEA SIG applications that provide a thorough description of how the LEA will identify and address potential barriers will be approved. USOE will use the Utah LEA SIG Grant Review Checklist Part I Descriptive Information page 7 to evaluate the **LEA's commitment to identify and modify its practices and policies.**

Approvable applications must address the following:

- The barriers to successful implementation of interventions are **clearly defined**.
- The plan to address the identified barriers is **clearly defined**.
- The LEA description **demonstrates** sufficient commitment to work with **key stakeholder groups** (i.e. an analysis of charter laws, an LEA's negotiations/agreements with the teacher associations, or an LEA's partnership(s) with outside entities) to modify practices and policies, as necessary.
- A procedure is in place to identify and resolve future issues related to practices and/or policies.

(5) Sustain the reforms after the funding period ends.

The LEA SIG application **must demonstrate** that the LEA has a plan to sustain the improvements achieved through the SIG process when the funding period ends. Competitive

applications include the following:

- A list of the ongoing supports needed to sustain school improvement after the funding period ends;
- A description of the anticipated local, state, and/or federal resources that will be committed to meet the needs identified above and support continued implementation of the model(s) chosen; and
- The written assurance the local school board and district superintendent or charter school leader that they will provide continued support beyond the period of the grant funding.

Checklist Part I Descriptive Information page 8.

**B-1. ADDITIONAL EVALUATION CRITERIA:** In addition to the evaluation criteria listed in Section B, the SEA must evaluate the following information in an LEA's budget and application:

Please note that Section B-1 is a new section added for the FY 2010 application.

(1) How will the SEA review an LEA's proposed budget with respect to activities carried out during the pre-implementation period<sup>2</sup> to help an LEA prepare for full implementation in the following school year?

(2) How will the SEA evaluate the LEA's proposed activities to be carried out during the pre-implementation period to determine whether they are allowable? *(For a description of allowable activities during the pre-implementation period, please refer to section J of the FY 2010 SIG Guidance.)*

<sup>2</sup> "Pre-implementation" enables an LEA to prepare for full implementation of a school intervention model at the start of the 2011–2012 school year. To help in its preparation, an LEA may use FY 2010 and/or FY 2009 carryover SIG funds in its SIG schools after the LEA has been awarded a SIG grant for those schools based on having a fully approvable application, consistent with the SIG final requirements. As soon as it receives the funds, the LEA may use part of its first-year allocation for SIG-related activities in schools that will be served with FY 2010 and/or FY 2009 carryover SIG funds. For a full description of pre-implementation, please refer to section J of the FY 2010 SIG Guidance.

**Insert response to Section B-1 Additional Evaluation Criteria here:**

1. An LEA receiving the Title I School Improvement Grant must submit a proposed budget to the Utah State Office of Education for approval before any activities may be carried out during the pre-implementation period. The LEAs proposed budget must assure that funds have been requested for the first year that covers full implementation of the selected intervention model through the 2011-2012 school year in addition to any allowable activities the LEA plans to implement prior to the 2011-2012 school year. **A reminder: The LEA may apply for a minimum of \$50,000 per year per school for each of the three years of the grant up to a maximum of \$2,000,000 per year per school for each of the three years for a total of no more than \$6,000,000 over three years.**

Checklist Part II Budget pages 9-11

2. USOE will ensure that all activities proposed by the LEA receiving the award are allowable expenditures to assist the LEA and school(s) in preparing for full implementation when the 2011-2012 school year begins. USOE has developed a Checklist to review the pre-implementation activities proposed by LEAs as a feedback resource to the LEA. This page of the Checklist will not be added to the overall score of the LEA application as this section is optional. The activities listed below are intended to be examples only. The focus of the activity should be its relationship to the needs of the school and the intervention model chosen for the school. Examples of allowable pre-implementation activities:

- Family and Community Engagement:** Hold community meetings to review school performance, discuss the school intervention model to be implemented, and develop school improvement plans in line with the intervention model selected; survey students and parents to gauge needs of students, families, and the community; communicate with parents and the community about school status, improvement plans, choice options, and local service providers for health, nutrition, or social services through press releases, newsletters, newspaper announcements, parent outreach coordinators, hotlines, and direct mail; assist families in transitioning to new schools if their current school is implementing the closure model by providing counseling or holding meetings specifically regarding their choices; or hold open houses or orientation activities specifically for students attending a new school if their prior school is implementing the closure model.
- Rigorous Review of External Providers:** Properly recruit, screen, and select any external providers that may be necessary to assist in planning for the implementation of an intervention model.
- Staffing:** Recruit and hire the incoming principal, leadership team, instructional staff, and administrative support; or evaluate the strengths and areas of need of current staff.
- Instructional Programs:** Provide remediation and enrichment to students in schools that will implement an intervention model at the start of the 2011-2012 school year through programs with evidence of raising achievement; identify and purchase instructional materials that are research-based, aligned with State academic standards, and have data-based evidence of raising student achievement; or compensate staff for instructional planning, such as examining student data, developing a curriculum that is aligned to State standards and aligned vertically from one grade level to another, collaborating within and across disciplines, and devising student assessments.
- Professional Development and Support:** Train staff on the implementation of new or revised instructional programs and policies that are aligned with the school's comprehensive instructional plan and the school's intervention model; provide instructional support for returning staff members, such as classroom coaching, structured common planning time, mentoring, consultation with outside experts, and observations of classroom practice, that is aligned with the school's comprehensive instructional plan and the school's intervention model; or train staff on the new evaluation system and locally adopted competencies.
- Preparation for Accountability Measures:** Develop and pilot a data system for use in SIG-funded schools; analyze data on leading baseline indicators; or develop and adopt interim assessments for use in SIG-funded schools.
- Other Allowable Activities to be described by the LEA**

**C. CAPACITY:** The SEA must explain how it will evaluate whether an LEA lacks capacity to implement a school intervention model in each Tier I school.

An LEA that applies for a School Improvement Grant must serve each of its Tier I schools using one of the four school intervention models unless the LEA demonstrates that it lacks sufficient capacity to do so. If an LEA claims it lacks sufficient capacity to serve each Tier I school, the SEA must evaluate the sufficiency of the LEA's claim. Claims of lack of capacity should be scrutinized carefully to ensure that LEAs effectively intervene in as many of their Tier I schools as possible.

The SEA must explain how it will evaluate whether an LEA lacks capacity to implement any of the school intervention models in its Tier I school(s). The SEA must also explain what it will do if it determines that an LEA has more capacity than the LEA demonstrates.

SEA is using the same evaluation criteria for capacity as FY 2009.

SEA has revised its evaluation criteria for capacity for FY 2010.

**Insert response to Section C Capacity here:**

In reviewing the LEA applications, the SEA will use a detailed checklist based on the information requested in Part C of the application to determine LEA capacity to serve eligible Tier I schools.

The SEA will determine the LEA's capacity to serve all Tier I schools based on the following factors:

- Size of the LEA e.g. very small LEA or charter organization;
- Large number of schools in Tier I, Tier II, and Tier III;
- Analysis of the achievement data in the individual schools for which the LEA is making application (extremely low performing schools may require additional support and resources);
- Location of the LEA and/or school(s) (e.g. remote rural locations);
- Limited number and expertise of LEA personnel available to provide technical assistance;
- Lack of ability of the LEA to recruit and retain teachers and administrators;
- No established partnerships with outside consultants;
- Limited availability and/or unwillingness to commit additional funds to interventions models; and
- Lack of ability of the LEA to ensure that quality interventions can be effectively and fully implemented.

If an LEA does not apply on behalf of all eligible Tier I schools, the LEA must justify in its SIG application the reasons why the LEA lacks capacity to serve all Tier I schools. An LEA's capacity to support intervention models for Tier I and Tier II schools will be considered in the

LEA SIG application approval process. Based on the information included in this section by the LEA, the SEA will use the scoring checklist to prioritize those LEAs with applications that demonstrate capacity.

If the SEA determines that the LEA has greater capacity than is outlined in the SIG application, the SEA will request clarification, using the above factors, to elicit additional information regarding the LEA's capacity to implement an appropriate intervention model at each of its Tier I and Tier II schools.

**D (PART 1). TIMELINE:** An SEA must describe its process and timeline for approving LEA applications.

Please note that Section D has been reformatted to separate the timeline into a different section for the FY 2010 application.

**Insert response to Section D (Part 1) Timeline here:**

(1) Describe the SEA's process and timeline for approving LEA applications.

The SEA has established the following timeline to disseminate information to eligible LEAs, provide training, review applications, approve LEA applications, and award SIG 2010 funds:

- Presentation to Utah's Districts and Charter Schools Leadership: November 30, 2010
- Individuals contacted to serve on the external Review Panel: December 2010
- Develop the online application process: January 2011
- Convene a bidders' conference: January 11, 2011
- Train Review Panel: January 12, 2011
- Applications available: January 11, 2011 to February 28, 2011
- Applications due: February 28, 2011
- Review SIG applications: March 4-18, 2011
- Notify SIG award recipients: March 22, 2011
- LEAs with approved Title I SIG applications will implement the selected implementation model(s) in the fall of 2011. LEAs may choose to do pre-implementation activities approved by USOE staff.

**D (PARTS 2-8). DESCRIPTIVE INFORMATION:**

(2) Describe the SEA’s process for reviewing an LEA’s annual goals for student achievement for its Tier I and Tier II schools and how the SEA will determine whether to renew an LEA’s School Improvement Grant with respect to one or more Tier I or Tier II schools in the LEA that are not meeting those goals and making progress on the leading indicators in section III of the final requirements.

(3) Describe the SEA’s process for reviewing the goals an LEA establishes for its Tier III schools (subject to approval by the SEA) and how the SEA will determine whether to renew an LEA’s School Improvement Grant with respect to one or more Tier III schools in the LEA that are not meeting those goals.

(4) Describe how the SEA will monitor each LEA that receives a School Improvement Grant to ensure that it is implementing a school intervention model fully and effectively in the Tier I and Tier II schools the LEA is approved to serve.

(5) Describe how the SEA will prioritize School Improvement Grants to LEAs if the SEA does not have sufficient school improvement funds to serve all eligible schools for which each LEA applies.

(6) Describe the criteria, if any, that the SEA intends to use to prioritize among Tier III schools.

(7) If the SEA intends to take over any Tier I or Tier II schools, identify those schools and indicate the school intervention model the SEA will implement in each school.

(8) If the SEA intends to provide services directly to any schools in the absence of a takeover, identify those schools and, for Tier I or Tier II schools, indicate the school intervention model the SEA will implement in each school and provide evidence of the LEA’s approval to have the SEA provide the services directly.<sup>3</sup>

<sup>3</sup> If, at the time an SEA submits its application, it has not yet determined whether it will provide services directly to any schools in the absence of a takeover, it may omit this information from its application. However, if the SEA later decides that it will provide such services, it must amend its application to provide the required information.

SEA is using the same descriptive information as FY 2009.

SEA has revised its descriptive information for FY 2010.

**Insert response to Section D (Parts 2-8) Descriptive Information here:**

(2) Describe the SEA’s process for reviewing an LEA’s annual goals for student achievement for its Tier I and Tier II schools and how the SEA will determine whether to renew an LEA’s School Improvement Grant if one or more Tier I or Tier II schools in the LEA are not meeting those goals and making progress on the leading indicators in section III of the final

requirements.

During the annual progress review process, the SEA will analyze the student achievement goals set by the LEA for each Tier I or Tier II school(s) according to the following process:

- Annually review school achievement data to determine if the participating school(s) are achieving expected improvement aligned with goals;
- Require a full school appraisal using USOE Title I school improvement appraisal tools in the first year of the intervention (if one has not been completed within the last two years); and
- Require detailed school improvement plan using the school improvement plan template formulated with results from the school appraisal (if one has not been completed within the last two years).

If participating school(s) is not meeting achievement goals after the first year, the following procedure will be followed:

- The SEA will support the LEA in conducting a more thorough review of student achievement data;
- An instructional audit will be conducted by external consultant(s) in consultation with USOE to focus on the quality of instruction and the fidelity of the implemented curriculum aligned to the Utah State Core Curriculum;
- The LEA will hire external consultant(s) in consultation with USOE to assist the LEA and school to revise goals, plans, and strategies to address increased student achievement;
- Quarterly reports on the implementation of the school improvement plan strategies/activities will be submitted by the external consultant to support, monitor, and report the progress being made in the implementation of the intervention model; and
- If the SEA determines that the LEA and school are not making adequate progress in the implementation of the intervention model, the SIG grant for the subsequent year may be reduced or eliminated.

- (3) Describe the SEA's process for reviewing the goals an LEA establishes for its Tier III schools (subject to approval by the SEA) and how the SEA will determine whether to renew an LEA's School Improvement Grant if one or more Tier III schools in the LEA are not meeting those goals.

During the annual progress review process, the SEA will analyze the student achievement goals set by the LEA for each Tier III school(s) according to the following process:

- Annually review school achievement data to determine if the participating school(s) are achieving expected improvement aligned with goals;
- Require a full school appraisal using USOE Title I school improvement appraisal tools in the first year of the intervention (if one has not been completed within the last two years); and
- Require detailed school improvement plan using the school improvement plan template formulated with results from the school appraisal (if one has not been completed within the last two years).

If the school is not meeting goals after the first year the following procedure will be followed:

- The SEA will support the LEA in conducting a more thorough review of student achievement data;
- An instructional audit will be conducted by external consultant(s) in consultation with USOE to focus on the quality of instruction and the fidelity of the implemented curriculum aligned to the Utah State Core Curriculum;
- The LEA will hire external consultant(s) in consultation with USOE to assist the LEA and school to revise goals, plans, and strategies to address increased student achievement;
- Quarterly reports on the implementation of the school improvement plan strategies/activities will be submitted by the external consultant to support, monitor, and report the progress being made in the implementation of the intervention model; and
- If the SEA determines that the LEA and school are not making adequate progress in the implementation of the intervention model, the SIG grant for the subsequent year may be reduced or eliminated.

- (4) Describe how the SEA will monitor each LEA that receives a School Improvement Grant to ensure that it is implementing a school intervention model fully and effectively in the Tier I and Tier II schools the LEA is approved to serve.

The SEA will monitor each LEA that receives a School Improvement Grant to ensure that it is implementing a school intervention model fully and effectively in the Tier I and Tier II schools the LEA is approved to serve. The following procedure will be followed:

- SEA Title I Instructional Improvement Team will conduct site visits with a monitoring tool designed to measure effectiveness of implementation of the selected intervention model;
- Review documentation of the LEA technical assistance provided to the schools that receive SIG funds (e.g. timelines, agendas, activities, professional development);
- Review budget reimbursement requests to make sure the funds are being used in a

fiscally appropriate manner tied to the school improvement plan; and

- Review the quarterly report(s) to determine progress on the plan implementation.

(5) Describe how the SEA will prioritize School Improvement Grants to LEAs if the SEA does not have sufficient school improvement funds to serve all eligible schools for which each LEA applies.

The SEA commits to serve all Tier I and Tier II schools for which the LEA has submitted an approvable application before consideration of extending funding to Tier III schools. The SEA will utilize the scoring rubrics to evaluate the following elements in the application approval process:

- Prioritize those LEA SIG applications that have the greatest promise of success in improving low-performing schools based on commitment, capacity, and well-defined plans and budgets;
- Prioritize those schools with the greatest need based on student achievement over a four year time frame;
- Prioritize based on the poverty level of the schools within the LEA;
- Prioritize those schools and LEAs with the greatest commitment to fully implement the selected intervention models as defined by the LEA application;
- Prioritize those schools that reflect the largest gap between the whole school and subgroup achievement; and
- Prioritize those LEAs who demonstrate the commitment to serve, provide technical assistance, and monitor the schools for which it applies.

(6) Describe the criteria, if any that the SEA intends to use to prioritize among Tier III schools.

If the SEA has sufficient funds to serve all Tier I and Tier II schools, the remaining funds may be awarded to LEAs with approvable applications that apply on behalf of its Tier III schools. The SEA will utilize the scoring rubrics to evaluate the following elements in the application approval process:

- Those LEAs that have and apply for Tier I and/or Tier II schools and also apply for eligible Tier III school(s), will receive a higher priority than LEAs that apply only for Tier III schools;
- Prioritize those schools with the greatest need based on student achievement over a four year period;
- If an LEA submits a SIG application on behalf of a school(s) that was not included in

Tier I or Tier II eligibility as a result of small “n” size, those applications will be given additional priority;

- Although Tier III schools are not required to implement one of the four intervention models, priority may be given to those LEAs with the greatest commitment to fully implement one of the four intervention models;
- Prioritize those LEAs with eligible schools that reflect the largest gap between the whole school and subgroup achievement;
- Commitment of the LEA to serve, provide technical assistance, and monitor the schools for which it applies; and
- Prioritize those LEAs that have already implemented research-based school improvement efforts.

(7) If the SEA intends to take over any Tier I or Tier II schools, identify those schools and indicate the school intervention model the SEA will implement in each school.

The state of Utah does not intend to take over any Tier I or Tier II schools.

(8) If the SEA intends to provide services directly to any schools in the absence of a takeover, identify those schools and, for Tier I or Tier II schools, indicate the school intervention model the SEA will implement in each school, and provide evidence of the LEA’s approval to have the SEA provide the services directly.<sup>2</sup>

The state of Utah does not intend to provide services directly to any Tier I or Tier II schools in the absence of a takeover.

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<sup>2</sup> If, at the time an SEA submits its application, it has not yet determined whether it will provide services directly to any schools in the absence of a takeover, it may omit this information from its application. However, if the SEA later decides that it will provide such services, it must amend its application to provide the required information.

## E. ASSURANCES

By submitting this application, the SEA assures that it will do the following (check each box):

- Comply with the final requirements and ensure that each LEA carries out its responsibilities.
- Award each approved LEA a School Improvement Grant in an amount that is of sufficient size and scope to implement the selected intervention in each Tier I and Tier II school that the SEA approves the LEA to serve.
- Ensure, if the SEA is participating in the Department's differentiated accountability pilot, that its LEAs will use school improvement funds consistent with the final requirements.
- Monitor each LEA's implementation of the "rigorous review process" of recruiting, screening, and selecting external providers as well as the interventions supported with school improvement funds.
- To the extent a Tier I or Tier II school implementing the restart model becomes a charter school LEA, hold the charter school operator or charter management organization accountable, or ensure that the charter school authorizer holds the respective entity accountable, for meeting the final requirements.
- Post on its Web site, within 30 days of awarding School Improvement Grants, all final LEA applications and a summary of the grants that includes the following information: name and NCES identification number of each LEA awarded a grant; total amount of the three year grant listed by each year of implementation; name and NCES identification number of each school to be served; and type of intervention to be implemented in each Tier I and Tier II school.
- Report the specific school-level data required in section III of the final requirements.

**F. SEA RESERVATION:** The SEA may reserve an amount not to exceed five percent of its School Improvement Grant for administration, evaluation, and technical assistance expenses.

The SEA must briefly describe the activities related to administration, evaluation, and technical assistance that the SEA plans to conduct with any State-level funds it chooses to reserve from its School Improvement Grant allocation.

**Insert response to Section F SEA Reservation here:**

The SEA will:

- Provide state level technical assistance to LEAs including:
  - Training for the application process,
  - Training for the implementation phase, and
  - Conduct Leadership Institutes (e.g. LEA and school administrators, instructional coaches, teacher leaders, special educators);
- Review school improvement plans;
- Monitor the budgets and reimbursement requests;
- Conduct site visits to participating schools; and
- Conduct a comprehensive external program evaluation of the SIG 2010 sub-grant recipients; recruit, screen, and contract with a qualified external evaluator.

**G. CONSULTATION WITH STAKEHOLDERS:** The SEA must consult with its Committee of Practitioners and is encouraged to consult with other stakeholders regarding its application for a School Improvement Grant.

Before submitting its application for a School Improvement Grant to the Department, the SEA must consult with its Committee of Practitioners established under section 1903(b) of the ESEA regarding the rules and policies contained therein.

The SEA has consulted with its Committee of Practitioners regarding the information set forth in its application.

The SEA may also consult with other stakeholders that have an interest in its application.

The SEA has consulted with other relevant stakeholders, including Utah District and Charter School Leadership, November 30, 2010

**H. WAIVERS:** SEAs are invited to request waivers of the requirements set forth below. An SEA must check the corresponding box(es) to indicate which waiver(s) it is requesting.

### WAIVERS OF SEA REQUIREMENTS

**Enter State Name Here** UTAH requests a waiver of the State-level requirements it has indicated below. The State believes that the requested waiver(s) will increase its ability to implement the SIG program effectively in eligible schools in the State in order to improve the quality of instruction and raise the academic achievement of students in Tier I, Tier II, and Tier III schools.

**Waiver 1: Tier II waiver**

In order to enable the State to generate new lists of Tier I, Tier II, and Tier III schools for its FY 2010 competition, waive paragraph (a)(2) of the definition of “persistently lowest-achieving schools” in Section I.A.3 of the SIG final requirements and incorporation of that definition in identifying Tier II schools under Section I.A.1(b) of those requirements to permit the State to include, in the pool of secondary schools from which it determines those that are the persistently lowest-achieving schools in the State, secondary schools participating under Title I, Part A of the ESEA that have not made adequate yearly progress (AYP) for at least two consecutive years or are in the State’s lowest quintile of performance based on proficiency rates on the State’s assessments in reading/language arts and mathematics combined.

Assurance

The State assures that it will include in the pool of schools from which it identifies its Tier II schools all Title I secondary schools not identified in Tier I that either (1) have not made AYP for at least two consecutive years; or (2) are in the State’s lowest quintile of performance based on proficiency rates on the State’s assessments in reading/language arts and mathematics combined. Within that pool, the State assures that it will identify as Tier II schools the persistently lowest-achieving schools in accordance with its approved definition. The State is attaching the list of schools and their level of achievement (as determined under paragraph (b) of the definition of “persistently lowest-achieving schools”) that would be identified as Tier II schools without the waiver and those that would be identified with the waiver. The State assures that it will ensure that any LEA that chooses to use SIG funds in a Title I secondary school that becomes an eligible Tier II school based on this waiver will comply with the SIG final requirements for serving that school.

**Note: An SEA that requested and received the Tier II waiver for its FY 2009 definition of “persistently lowest achieving schools” should request the waiver again only if it is generating new lists of Tier I, Tier II, and Tier**

**III schools.**

**Waiver 2: n-size waiver**

In order to enable the State to generate new lists of Tier I, Tier II, and Tier III schools for its FY 2010 competition, waive the definition of “persistently lowest-achieving schools” in Section I.A.3 of the SIG final requirements and the use of that definition in Section I.A.1(a) and (b) of those requirements to permit the State to exclude, from the pool of schools from which it identifies the persistently lowest-achieving schools for Tier I and Tier II, any school in which the total number of students in the “all students” group in the grades assessed is less than **[Please indicate number]** <40.

Assurance

The State assures that it determined whether it needs to identify five percent of schools or five schools in each tier prior to excluding small schools below its “minimum n.” The State is attaching, and will post on its Web site, a list of the schools in each tier that it will exclude under this waiver and the number of students in each school on which that determination is based. The State will include its “minimum n” in its definition of “persistently lowest-achieving schools.” In addition, the State will include in its list of Tier III schools any schools excluded from the pool of schools from which it identified the persistently lowest-achieving schools in accordance with this waiver.

**Note: An SEA that requested and received the n-size waiver for its FY 2009 definition of “persistently lowest-achieving schools” should request the waiver again only if it is generating new lists of Tier I, Tier II, and Tier III schools.**

**Waiver 3: New list waiver**

Because the State neither must nor elects to generate new lists of Tier I, Tier II, and Tier III schools, waive Sections I.A.1 and II.B.10 of the SIG final requirements to permit the State to use the same Tier I, Tier II, and Tier III lists it used for its FY 2009 competition.

Assurance

The State assures that it has five or more unserved Tier I schools on its FY 2009 list.

**WAIVERS OF LEA REQUIREMENTS**

**Enter State Name Here** UTAH requests a waiver of the requirements it has indicated below. These waivers would allow any local educational agency (LEA) in the State that receives a School Improvement Grant to use those funds in accordance with the final requirements for School Improvement Grants and the LEA’s application for a grant.

The State believes that the requested waiver(s) will increase the quality of instruction for students and improve the academic achievement of students in Tier I, Tier II, and Tier III schools by enabling an LEA to use more effectively the school improvement funds to implement one of the four school intervention models in its Tier I, Tier II, or Tier III schools. The four school intervention models are specifically designed to raise substantially the achievement of students in the State’s Tier I, Tier II, and Tier III schools.

**Waiver 4: School improvement timeline waiver**

Waive section 1116(b)(12) of the ESEA to permit LEAs to allow their Tier I, Tier II, and Tier III Title I participating schools that will fully implement a turnaround or restart model beginning in the 2011–2012 school year to “start over” in the school improvement timeline.

Assurances

The State assures that it will permit an LEA to implement this waiver only if the LEA receives a School Improvement Grant and requests the waiver in its application as part of a plan to implement the turnaround or restart model beginning in 2011–2012 in a school that the SEA has approved it to serve. As such, the LEA may only implement the waiver in Tier I, Tier II, and Tier III schools, as applicable, included in its application.

The State assures that, if it is granted this waiver, it will submit to the U.S. Department of Education a report that sets forth the name and NCES District Identification Number for each LEA implementing a waiver.

**Note: An SEA that requested and received the school improvement timeline waiver for the FY 2009 competition and wishes to also receive the waiver for the FY 2010 competition must request the waiver again in this application.**

**Schools that started implementation of a turnaround or restart model in the 2010-2011 school year cannot request this waiver to “start over” their school improvement timeline again.**

**Waiver 5: Schoolwide program waiver**

Waive the 40 percent poverty eligibility threshold in section 1114(a)(1) of the ESEA to permit LEAs to implement a schoolwide program in a Tier I, Tier II, or Tier III Title I participating school that does not meet the poverty threshold and is fully implementing one of the four school intervention models.

Assurances

The State assures that it will permit an LEA to implement this waiver only if the LEA receives a School Improvement Grant and requests to implement the waiver in its application. As such, the LEA may only implement the waiver in Tier I, Tier II, and Tier III schools, as applicable, included in its application.

The State assures that, if it is granted this waiver, it will submit to the U.S. Department of Education a report that sets forth the name and NCES District Identification Number for each LEA implementing a waiver.

**Note: An SEA that requested and received the schoolwide program waiver for the FY 2009 competition and wishes to also receive the waiver for the FY 2010 competition must request the waiver again in this application.**

**PERIOD OF AVAILABILITY WAIVER**

**Enter State Name Here** UTAH requests a waiver of the requirement indicated below. The State believes that the requested waiver will increase its ability to implement the SIG program effectively in eligible schools in the State in order to improve the quality of instruction and improve the academic achievement of students in Tier I, Tier II, and Tier III schools.

**Waiver 6: Period of availability of FY 2009 carryover funds waiver**

Waive section 421(b) of the General Education Provisions Act (20 U.S.C. § 1225(b)) to extend the period of availability of FY 2009 carryover school improvement funds for the SEA and all of its LEAs to September 30, 2014.

**Note: This waiver only applies to FY 2009 carryover funds. An SEA that requested and received this waiver for the FY 2009 competition and wishes to also receive the waiver to apply to FY 2009 carryover funds in order to make them available for three full years for schools awarded SIG funds through the FY 2010 competition must request the waiver again in this application.**

**ASSURANCE OF NOTICE AND COMMENT PERIOD – APPLIES TO ALL WAIVER REQUESTS**

**(Must check if requesting one or more waivers)**

The State assures that, prior to submitting its School Improvement Grant application, the State provided all LEAs in the State that are eligible to receive a School Improvement Grant with notice and a reasonable opportunity to comment on its waiver request(s) and has attached a copy of that notice as well as copies of any comments it received from LEAs. The State also assures that it provided notice and information regarding the above waiver request(s) to the public in the manner in which the State customarily provides such notice and information to the public (e.g., by publishing a notice in the newspaper; by posting information on its Web site) and has attached a copy of, or link to, that notice.

**PART II: LEA REQUIREMENTS**

An SEA must develop an LEA application form that it will use to make subgrants of school improvement funds to eligible LEAs. That application must contain, at a minimum, the information set forth below. An SEA may include other information that it deems necessary in order to award school improvement funds to its LEAs.

Please note that for FY 2010, an SEA must develop or update its LEA application form to include information on any activities, as well as the budget for those activities, that LEAs plan to carry out during the pre-implementation period to help prepare for full implementation in the following school year.

**The SEA must submit its LEA application form with its application to the Department for a School Improvement Grant. The SEA should attach the LEA application form in a separate document.**

**LEA APPLICATION REQUIREMENTS**

**A. SCHOOLS TO BE SERVED: An LEA must include the following information with respect to the schools it will serve with a School Improvement Grant.**

An LEA must identify each Tier I, Tier II, and Tier III school the LEA commits to serve and identify the model that the LEA will use in each Tier I and Tier II school.

SCHOOL NAME	NCES ID #	TIER I	TIER II	TIER III	INTERVENTION (TIER I AND II ONLY)			
					turnaround	restart	closure	transformation

Note: An LEA that has nine or more Tier I and Tier II schools may not implement the transformation model in more than 50 percent of those schools.

**B. DESCRIPTIVE INFORMATION: An LEA must include the following information in its application for a School Improvement Grant.**

- (1) For each Tier I and Tier II school that the LEA commits to serve, the LEA must demonstrate that—
  - The LEA has analyzed the needs of each school and selected an intervention for each school; and
  - The LEA has the capacity to use school improvement funds to provide adequate resources and related support to each Tier I and Tier II school identified in the LEA’s application in order to implement, fully and effectively, the required activities of the school intervention model it has selected.
- (2) If the LEA is not applying to serve each Tier I school, the LEA must explain why it lacks capacity to serve each Tier I school.
- (3) The LEA must describe actions it has taken, or will take, to—
  - Design and implement interventions consistent with the final requirements;
  - Recruit, screen, and select external providers, if applicable, to ensure their quality;
  - Align other resources with the interventions;
  - Modify its practices or policies, if necessary, to enable its schools to implement the interventions fully and effectively; and
  - Sustain the reforms after the funding period ends.
- (4) The LEA must include a timeline delineating the steps it will take to implement the selected intervention in each Tier I and Tier II school identified in the LEA’s application.
- (5) The LEA must describe the annual goals for student achievement on the State’s assessments in both reading/language arts and mathematics that it has established in order to monitor its Tier I and Tier II schools that receive school improvement funds.
- (6) For each Tier III school the LEA commits to serve, the LEA must identify the services the school will receive or the activities the school will implement.
- (7) The LEA must describe the goals it has established (subject to approval by the SEA) in order to hold accountable its Tier III schools that receive school improvement funds.
- (8) As appropriate, the LEA must consult with relevant stakeholders regarding the LEA’s application and implementation of school improvement models in its Tier I and Tier II schools.

**C. BUDGET: An LEA must include a budget that indicates the amount of school improvement funds the LEA will use each year in each Tier I, Tier II, and Tier III school it commits to serve.**

The LEA must provide a budget that indicates the amount of school improvement funds the LEA will use each year to—

- Implement the selected model in each Tier I and Tier II school it commits to serve;
- Conduct LEA-level activities designed to support implementation of the selected school intervention models in the LEA’s Tier I and Tier II schools; and
- Support school improvement activities, at the school or LEA level, for each Tier III school identified in the LEA’s application.

Note: An LEA’s budget should cover three years of full implementation and be of sufficient size and scope to implement the selected school intervention model in each Tier I and Tier II school the LEA commits to serve. Any funding for activities during the pre-implementation period must be included in the first year of the LEA’s three-year budget plan.

An LEA’s budget for each year may not exceed the number of Tier I, Tier II, and Tier III schools it commits to serve multiplied by \$2,000,000 or no more than \$6,000,000 over three years.

**Example:**

<b>LEA XX BUDGET</b>					
	<b>Year 1 Budget</b>		<b>Year 2 Budget</b>	<b>Year 3 Budget</b>	<b>Three-Year Total</b>
	<b>Pre-implementation</b>	<b>Year 1 - Full Implementation</b>			
<b>Tier I ES #1</b>	\$257,000	\$1,156,000	\$1,325,000	\$1,200,000	\$3,938,000
<b>Tier I ES #2</b>	\$125,500	\$890,500	\$846,500	\$795,000	\$2,657,500
<b>Tier I MS #1</b>	\$304,250	\$1,295,750	\$1,600,000	\$1,600,000	\$4,800,000
<b>Tier II HS #1</b>	\$530,000	\$1,470,000	\$1,960,000	\$1,775,000	\$5,735,000
<b>LEA-level Activities</b>	\$250,000		\$250,000	\$250,000	\$750,000
<b>Total Budget</b>	<b>\$6,279,000</b>		<b>\$5,981,500</b>	<b>\$5,620,000</b>	<b>\$17,880,500</b>

**D. ASSURANCES: An LEA must include the following assurances in its application for a School Improvement Grant.**

The LEA must assure that it will—

- (1) Use its School Improvement Grant to implement fully and effectively an intervention in each Tier I and Tier II school that the LEA commits to serve consistent with the final requirements;
- (2) Establish annual goals for student achievement on the State’s assessments in both reading/language arts and mathematics and measure progress on the leading indicators in section III of the final requirements in order to monitor each Tier I and Tier II school that it serves with school improvement funds, and establish goals (approved by the SEA) to hold accountable its Tier III schools that receive school improvement funds;
- (3) If it implements a restart model in a Tier I or Tier II school, include in its contract or agreement terms and provisions to hold the charter operator, charter management organization, or education management organization accountable for complying with the final requirements; and
- (4) Report to the SEA the school-level data required under section III of the final requirements.

**E. WAIVERS: If the SEA has requested any waivers of requirements applicable to the LEA’s School Improvement Grant, an LEA must indicate which of those waivers it intends to implement.**

The LEA must check each waiver that the LEA will implement. If the LEA does not intend to implement the waiver with respect to each applicable school, the LEA must indicate for which schools it will implement the waiver.

- “Starting over” in the school improvement timeline for Tier I and Tier II Title I participating schools implementing a turnaround or restart model.
- Implementing a schoolwide program in a Tier I or Tier II Title I participating school that does not meet the 40 percent poverty eligibility threshold.

## APPENDIX A

### SEA ALLOCATIONS TO LEAS AND LEA BUDGETS

#### **Continuing Impact of ARRA School Improvement Grant Funding in FY 2010**

Congress appropriated \$546 million for School Improvement Grants in FY 2010. In addition, most States will be carrying over a portion of their FY 2009 SIG allocations, primarily due to the requirement in section II.B.9(a) of the SIG final requirements that if not every Tier I school in a State was served with FY 2009 SIG funds, the State was required to carry over 25 percent of its FY 2009 SIG allocation, combine those funds with the State's FY 2010 SIG allocation, and award the combined funding to eligible LEAs consistent with the SIG final requirements. In FY 2009, the combination of \$3 billion in School Improvement Grant funding from the American Recovery and Reinvestment Act and \$546 million from the regular FY 2009 appropriation created a unique opportunity for the program to provide the substantial funding over a multi-year period to support the implementation of school intervention models. In response to this opportunity, the Department encouraged States to apply for a waiver extending the period of availability of FY 2009 SIG funds until September 30, 2013 so that States could use these funds to make three-year grant awards to LEAs to support the full and effective implementation of school intervention models in their Tier I and Tier II schools. All States with approved FY 2009 SIG applications applied for and received this waiver to extend the period of availability of FY 2009 SIG funds and, consistent with the final SIG requirements, are using FY 2009 funds to provide a full three years of funding (aka, "frontloading") to support the implementation of school intervention models in Tier I and Tier II schools.

The Department encouraged frontloading in FY 2009 because the extraordinary amount of SIG funding available in FY 2009 meant that, if those funds had been used to fund only the first year of implementation of a school intervention model, *i.e.*, to make first-year only awards, there would not have been sufficient funding for continuation awards in years two and three of the SIG award period (*i.e.*, SIG funding in FY 2009 was seven times the amount provided through the regular appropriation). Similarly, the estimated nearly \$1.4 billion in total SIG funding available in FY 2010 (an estimated \$825 million in FY 2009 SIG carryover funds plus the \$546 million FY 2010 SIG appropriation) is larger than the expected annual SIG appropriation over the next two fiscal years; if all funds available in FY 2010 were used to make the first year of three-year awards to LEAs for services to eligible Tier I and Tier II schools, there would not be sufficient funds to make continuation awards in subsequent fiscal years.

## **Maximizing the Impact of Regular FY 2010 SIG Allocations**

Continuing the practice of frontloading SIG funds in FY 2010 with respect to all SIG funds that are available for the FY 2010 competition (FY 2009 carryover funds plus the FY 2010 appropriation) would, in many States, limit the number of Tier I and Tier II schools that can be served as a result of the FY 2010 SIG competition. For this reason, the Department believes that, for most States, the most effective method of awarding FY 2010 SIG funds to serve the maximum number of Tier I and Tier II schools that have the capacity to fully and effectively implement a school intervention model is to frontload FY 2009 carryover funds while using FY 2010 SIG funds to make first-year only awards.

For example, if a State has \$36 million in FY 2009 carryover SIG funds and \$21 million in FY 2010 funds, and awards each school implementing a school intervention model an average of \$1 million per year over three years, the SEA would be able to fund 12 schools with FY 2009 carryover funds (*i.e.*, the \$36 million would cover all three years of funding for those 12 schools), plus an additional 21 schools with FY 2010 funds (*i.e.*, the \$21 million would cover the first year of funding for each of those schools, and the second and third years would be funded through continuation grants from subsequent SIG appropriations). Thus, the State would be able to support interventions in a total of 33 schools. However, if the same State elected to frontload all funds available for its FY 2010 SIG competition (FY 2009 carryover funds and its FY 2010 allocation), it would be able to fund interventions in only 19 schools (\$57 million divided by \$3 million per school over three years).

LEAs that receive first-year only awards would continue to implement intervention models in Tier I and Tier II schools over a three-year award period; however, second- and third-year continuation grants would be awarded from SIG appropriations in subsequent fiscal years. This practice of making first-year awards from one year's appropriation and continuation awards from funds appropriated in subsequent fiscal years is similar to the practice used for many U.S. Department of Education discretionary grant programs.

States with FY 2009 SIG carryover funds are invited to apply, as in their FY 2009 applications, for the waiver to extend the period of availability of these funds for one additional year to September 30, 2014. States that did not carry over FY 2009 SIG funds, or that carried over only a small amount of such funds, need not apply for this waiver; such States will use all available FY 2010 SIG funds to make first-year awards to LEAs in their FY 2010 SIG competitions.

## **Continuation of \$2 Million Annual Per School Cap**

For FY 2010, States continue to have flexibility to award up to \$2 million annually for each participating school. This flexibility applies both to funds that are frontloaded and those that are used for first-year only awards. As in FY 2009, this higher limit will permit an SEA to award the amount that the Department believes typically would be required for the successful

implementation of the turnaround, restart, or transformation model in a Tier I or Tier II school (e.g., a school of 500 students might require \$1 million annually, whereas a large, comprehensive high school might require the full \$2 million annually).

In addition, the annual \$2 million per school cap, which permits total per-school funding of up to \$6 million over three years, reflects the continuing priority on serving Tier I or Tier II schools. An SEA must ensure that all Tier I and Tier II schools across the State that its LEAs commit to serve, and that the SEA determines its LEAs have capacity to serve, are awarded sufficient school improvement funding to fully and effectively implement the selected school intervention models over the period of availability of the funds before the SEA awards any funds for Tier III schools.

The following describes the requirements and priorities that apply to LEA budgets and SEA allocations.

### **LEA Budgets**

An LEA's proposed budget should cover a three-year period and should take into account the following:

1. The number of Tier I and Tier II schools that the LEA commits to serve and the intervention model (turnaround, restart, closure, or transformation) selected for each school.
2. The budget request for each Tier I and Tier II school must be of sufficient size and scope to support full and effective implementation of the selected intervention over a period of three years. First-year budgets may be higher than in subsequent years due to one-time start-up costs.
3. The portion of school closure costs covered with school improvement funds may be significantly lower than the amount required for the other models and would typically cover only one year.
4. The LEA may request funding for LEA-level activities that will support the implementation of school intervention models in Tier I and Tier II schools.
5. The number of Tier III schools that the LEA commits to serve, if any, and the services or benefits the LEA plans to provide to these schools over the three-year grant period.
6. The maximum funding available to the LEA each year is determined by multiplying the total number of Tier I, Tier II, and Tier III schools that the LEA is approved to serve by \$2 million (the maximum amount that an SEA may award to an LEA for each participating school).

## **SEA Allocations to LEAs**

An SEA must allocate the LEA share of school improvement funds (*i.e.*, 95 percent of the SEA's allocation from the Department) in accordance with the following requirements:

1. The SEA must give priority to LEAs that apply to serve Tier I or Tier II schools.
2. An SEA may not award funds to any LEA for Tier III schools unless and until the SEA has awarded funds to serve all Tier I and Tier II schools across the State that its LEAs commit to serve and that the SEA determines its LEAs have capacity to serve.
3. An LEA with one or more Tier I schools may not receive funds to serve only its Tier III schools.
4. In making awards consistent with these requirements, an SEA must take into account LEA capacity to implement the selected school interventions, and also may take into account other factors, such as the number of schools served in each tier and the overall quality of LEA applications.
5. An SEA that does not have sufficient school improvement funds to allow each LEA with a Tier I or Tier II school to implement fully the selected intervention models may take into account the distribution of Tier I and Tier II schools among such LEAs in the State to ensure that Tier I and Tier II schools throughout the State can be served.
6. Consistent with the final requirements, an SEA may award an LEA less funding than it requests. For example, an SEA that does not have sufficient funds to serve fully all of its Tier I and Tier II schools may approve an LEA's application with respect to only a portion of the LEA's Tier I or Tier II schools to enable the SEA to award school improvement funds to Tier I and Tier II schools across the State. Similarly, an SEA may award an LEA funds sufficient to serve only a portion of the Tier III schools the LEA requests to serve.
7. Note that the requirement in section II.B.9(a) of the SIG requirements, under which an SEA that does not serve all of its Tier I schools must carry over 25 percent of its FY 2009 SIG allocation to the following year, does not apply to FY 2010 SIG funds.

An SEA's School Improvement Grant award to an LEA must:

1. Include not less than \$50,000 or more than \$2 million per year for each participating school (*i.e.*, the Tier I, Tier II, and Tier III schools that the LEA commits to serve and that the SEA approves the LEA to serve).
2. Provide sufficient school improvement funds to implement fully and effectively one of the four intervention models in each Tier I and Tier II school the SEA approves the LEA to serve or close, as well as sufficient funds for serving participating Tier III schools. An

SEA may reduce an LEA's requested budget by any amounts proposed for interventions in one or more schools that the SEA does not approve the LEA to serve (*i.e.*, because the LEA does not have the capacity to serve the school or because the SEA is approving only a portion of Tier I and Tier II schools in certain LEAs in order to serve Tier I and Tier II schools across the State). An SEA also may reduce award amounts if it determines that an LEA can implement its planned interventions with less than the amount of funding requested in its budget.

3. Consistent with the priority in the final requirements, provide funds for Tier III schools only if the SEA has already awarded funds for all Tier I and Tier II schools across the State that its LEAs commit to serve and that the SEA determines its LEAs have capacity to serve.
4. Include any requested funds for LEA-level activities that support implementation of the school intervention models.
5. Apportion any FY 2009 carryover school improvement funds so as to provide funding to LEAs over three years (assuming the SEA has requested and received a waiver to extend the period of availability to September 30, 2014).
6. Use FY 2010 school improvement funds to make the first year of three-year grant awards to LEAs (unless the SEA has received a waiver of the period of availability for its FY 2010 funds). Continuation awards for years 2 and 3 would come from SIG appropriations in subsequent fiscal years.

## APPENDIX B

	<b>Schools an SEA MUST identify in each tier</b>	<b>Newly eligible schools an SEA MAY identify in each tier</b>
<b>Tier I</b>	Schools that meet the criteria in paragraph (a)(1) in the definition of “persistently lowest-achieving schools.” <sup>§</sup>	Title I eligible <sup>**</sup> elementary schools that are no higher achieving than the highest-achieving school that meets the criteria in paragraph (a)(1)(i) in the definition of “persistently lowest-achieving schools” <u>and</u> that are: <ul style="list-style-type: none"> <li>• in the bottom 20% of all schools in the State based on proficiency rates; <u>or</u></li> <li>• have not made AYP for two consecutive years.</li> </ul>
<b>Tier II</b>	Schools that meet the criteria in paragraph (a)(2) in the definition of “persistently lowest-achieving schools.”	Title I eligible secondary schools that are (1) no higher achieving than the highest-achieving school that meets the criteria in paragraph (a)(2)(i) in the definition of “persistently lowest-achieving schools” or (2) high schools that have had a graduation rate of less than 60 percent over a number of years <u>and</u> that are: <ul style="list-style-type: none"> <li>• in the bottom 20% of all schools in the State based on proficiency rates; <u>or</u></li> <li>• have not made AYP for two consecutive years.</li> </ul>
<b>Tier III</b>	Title I schools in improvement, corrective action, or restructuring that are not in Tier I. <sup>††</sup>	Title I eligible schools that do not meet the requirements to be in Tier I or Tier II <u>and</u> that are: <ul style="list-style-type: none"> <li>• in the bottom 20% of all schools in the State based on proficiency rates; <u>or</u></li> <li>• have not made AYP for two years.</li> </ul>

<sup>§</sup> “Persistently lowest-achieving schools” means, as determined by the State--

(a)(1) Any Title I school in improvement, corrective action, or restructuring that--

- (i) Is among the lowest-achieving five percent of Title I schools in improvement, corrective action, or restructuring or the lowest-achieving five Title I schools in improvement, corrective action, or restructuring in the State, whichever number of schools is greater; or
- (ii) Is a high school that has had a graduation rate as defined in 34 CFR 200.19(b) that is less than 60 percent over a number of years; and

(2) Any secondary school that is eligible for, but does not receive, Title I funds that--

- (i) Is among the lowest-achieving five percent of secondary schools or the lowest-achieving five secondary schools in the State that are eligible for, but do not receive, Title I funds, whichever number of schools is greater; or
- (ii) Is a high school that has had a graduation rate as defined in 34 CFR 200.19(b) that is less than 60 percent over a number of years.

<sup>\*\*</sup> For the purposes of schools that may be added to Tier I, Tier II, or Tier III, “Title I eligible” schools may be schools that are eligible for, but do not receive, Title I, Part A funds or schools that are Title I participating (i.e., schools that are eligible for and do receive Title I, Part A funds).

<sup>††</sup> Certain Title I schools in improvement, corrective action, or restructuring that are not in Tier I may be in Tier II rather than Tier III. In particular, certain Title I secondary schools in improvement, corrective action, or restructuring that are not in Tier I may be in Tier II if an SEA receives a waiver to include them in the pool of schools from which Tier II schools are selected or if they meet the criteria in section I.A.1(b)(ii)(A)(2) and (B) and an SEA chooses to include them in Tier II.

# Utah Title I 2010 School Improvement Grant

## List of Lowest-performing Schools

<u>BOX ELDER DISTRICT ID #4900090</u>						
SCHOOL NAME	NCES ID #	TIER I	TIER II	TIER III	GRAD RATE	NEWLY ELIGIBLE <sup>i</sup>
Grouse Creek	490009000054			X		X*
Park Valley	490009000064			X		X*
Lincoln Center	490009000596			X		X*
Snowville	490009000067			X		X*

<u>CANYONS DISTRICT, NCES ID #4900142</u>						
SCHOOL NAME	NCES ID #	TIER I	TIER II	TIER III	GRAD RATE	NEWLY ELIGIBLE <sup>ii</sup>
Midvale Elementary	490014200312			X		X
Jordan Resource Center	490014200308			X		X*

<u>CARBON DISTRICT, NCES ID #4900150</u>						
SCHOOL NAME	NCES ID #	TIER I	TIER II	TIER III	GRAD RATE	NEWLY ELIGIBLE <sup>iii</sup>
Lighthouse Learning Center (ALT)	490015000378		X		89%	X

<u>DAVIS DISTRICT, NCES ID #4900210</u>						
SCHOOL NAME	NCES ID #	TIER I	TIER II	TIER III	GRAD RATE	NEWLY ELIGIBLE <sup>iv</sup>
Fremont Elementary	490021000121	X				
Antelope Elementary	490021000869			X		
Doxey Elementary	490021000118			X		X
Vae View Elementary	490021000149			X		X

<b>DUCHESNE DISTRICT, NCES ID #4900240</b>						
<b>SCHOOL NAME</b>	<b>NCES ID #</b>	<b>TIER I</b>	<b>TIER II</b>	<b>TIER III</b>	<b>GRAD RATE</b>	<b>NEWLY ELIGIBLE<sup>v</sup></b>
<b>Myton Elementary</b>	<b>490024000165</b>			<b>X</b>		<b>X</b>
<b>Thompson Elementary</b>	<b>490024000753</b>			<b>X</b>		<b>X*</b>

<b>GARFIELD DISTRICT ID #4900300</b>						
<b>SCHOOL NAME</b>	<b>NCES ID #</b>	<b>TIER I</b>	<b>TIER II</b>	<b>TIER III</b>	<b>GRAD RATE</b>	<b>NEWLY ELIGIBLE<sup>vi</sup></b>
<b>Boulder Elementary</b>	<b>490030000825</b>			<b>X</b>		<b>X*</b>
<b>Antimony Elementary</b>	<b>490030000183</b>			<b>X</b>		<b>X*</b>

<b>GRANITE DISTRICT NCES ID #4900360</b>						
<b>SCHOOL NAME</b>	<b>NCES ID #</b>	<b>TIER I</b>	<b>TIER II</b>	<b>TIER III</b>	<b>GRAD RATE</b>	<b>NEWLY ELIGIBLE<sup>vii</sup></b>
<b>Oquirrh Hills Elementary</b>	<b>490036000250</b>	<b>X</b>				
<b>Academy Park Elementary</b>	<b>490036000196</b>			<b>X</b>		<b>X</b>
<b>Arcadia Elementary</b>	<b>490036000198</b>			<b>X</b>		<b>X</b>
<b>Thomas W. Bacchus Elementary</b>	<b>490036000755</b>			<b>X</b>		<b>X</b>
<b>Fox Hills Elementary</b>	<b>490036000679</b>			<b>X</b>		<b>X</b>
<b>Granite Peaks High School (ALT)</b>	<b>490036000220</b>		<b>X</b>		<b>NA – less than 40</b>	
<b>Jackling Elementary</b>	<b>490036000230</b>			<b>X</b>		<b>X</b>
<b>Kearns High School</b>	<b>490036000234</b>		<b>X</b>		<b>79%</b>	
<b>Lake Ridge Elementary</b>	<b>490036000236</b>			<b>X</b>		<b>X</b>
<b>Lincoln Elementary</b>	<b>490036000238</b>			<b>X</b>		<b>X</b>

<b>Plymouth Elementary</b>	<b>490036000254</b>			<b>X</b>		<b>X</b>
<b>Young Parent Program (ALT)</b>	<b>490036000760</b>		<b>X</b>		<b>52%</b>	
<b>Valley Crest Elementary</b>	<b>490036000827</b>			<b>X</b>		<b>X</b>
<b>Woodrow Wilson Elementary</b>	<b>490036000276</b>			<b>X</b>		<b>X</b>

<b><u>KANE DISTRICT ID #4900480</u></b>						
<b>SCHOOL NAME</b>	<b>NCES ID #</b>	<b>TIER I</b>	<b>TIER II</b>	<b>TIER III</b>	<b>GRAD RATE</b>	<b>NEWLY ELIGIBLE<sup>viii</sup></b>
<b>Lake Powell</b>	<b>490048000897</b>			<b>X</b>		<b>X*</b>

<b><u>NEBO DISTRICT ID #4900630</u></b>						
<b>SCHOOL NAME</b>	<b>NCES ID #</b>	<b>TIER I</b>	<b>TIER II</b>	<b>TIER III</b>	<b>GRAD RATE</b>	<b>NEWLY ELIGIBLE<sup>ix</sup></b>
<b>Oakridge Elementary</b>	<b>490063000958</b>			<b>X</b>		<b>X*</b>

<b><u>OGDEN DISTRICT, NCES ID #4900720</u></b>						
<b>SCHOOL NAME</b>	<b>NCES ID #</b>	<b>TIER I</b>	<b>TIER II</b>	<b>TIER III</b>	<b>GRAD RATE</b>	<b>NEWLY ELIGIBLE<sup>x</sup></b>
<b>Bonneville Elementary</b>	<b>490072000418</b>			<b>X</b>		<b>X</b>
<b>Gramercy Elementary</b>	<b>490072000423</b>			<b>X</b>		<b>X</b>
<b>T.O.Smith Elementary</b>	<b>490072000442</b>			<b>X</b>		<b>X</b>
<b>Lincoln Elementary</b>	<b>490072000430</b>			<b>X</b>		<b>X</b>
<b>Ogden High School</b>	<b>490072001271</b>		<b>X</b>		<b>87%</b>	
<b>Washington High (ALT)</b>	<b>490072000725</b>		<b>X</b>		<b>23%</b>	<b>X</b>

<b>PIUTE DISTRICT ID #4900780</b>						
<b>SCHOOL NAME</b>	<b>NCES ID #</b>	<b>TIER I</b>	<b>TIER II</b>	<b>TIER III</b>	<b>GRAD RATE</b>	<b>NEWLY ELIGIBLE<sup>xi</sup></b>
<b>Oscarson Elementary</b>	<b>490078000449</b>			<b>X</b>		<b>X*</b>

<b>PROVO DISTRICT, NCES ID #4900810</b>						
<b>SCHOOL NAME</b>	<b>NCES ID #</b>	<b>TIER I</b>	<b>TIER II</b>	<b>TIER III</b>	<b>GRAD RATE</b>	<b>NEWLY ELIGIBLE<sup>xii</sup></b>
<b>Independence High School (ALT)</b>	<b>490081000836</b>		<b>X</b>		<b>45%</b>	
<b>Farrer Elementary</b>	<b>490081001074</b>	<b>X</b>				
<b>Timpanogos Elementary</b>	<b>490081000465</b>			<b>X</b>		

<b>SALT LAKE CITY DISTRICT, NCES ID #4900870</b>						
<b>SCHOOL NAME</b>	<b>NCES ID #</b>	<b>TIER I</b>	<b>TIER II</b>	<b>TIER III</b>	<b>GRAD RATE</b>	<b>NEWLY ELIGIBLE<sup>xiii</sup></b>
<b>East High School</b>	<b>490087000486</b>		<b>X</b>		<b>84%</b>	
<b>Edison Elementary</b>	<b>490087000487</b>			<b>X</b>		<b>X</b>
<b>Parkview Elementary</b>	<b>490087000514</b>			<b>X</b>		<b>X</b>
<b>Rose Park Elementary</b>	<b>490087000516</b>			<b>X</b>		<b>X</b>
<b>Horizonte Instruction and Training Center (ALT)</b>	<b>490087000732</b>		<b>X</b>		<b>36%</b>	

**SAN JUAN DISTRICT, NCES ID #4900900**

SCHOOL NAME	NCES ID #	TIER I	TIER II	TIER III	GRAD RATE	NEWLY ELIGIBLE <sup>xiv</sup>
<b>Mexican Hat Elementary</b>	<b>490090000533</b>	<b>X</b>				<b>X</b>
<b>Montezuma Creek Elementary</b>	<b>490090000534</b>	<b>X</b>				
<b>Monument Valley High</b>	<b>490090000802</b>		<b>X</b>		<b>90%</b>	<b>X</b>
<b>Whitehorse High</b>	<b>490090000667</b>		<b>X</b>		<b>87%</b>	<b>X</b>

**TINTIC DISTRICT ID #4901020**

SCHOOL NAME	NCES ID #	TIER I	TIER II	TIER III	GRAD RATE	NEWLY ELIGIBLE <sup>xv</sup>
<b>Calloa Elementary</b>	<b>490102000204</b>			<b>X</b>		<b>X*</b>
<b>West Desert Elementary</b>	<b>490102000561</b>			<b>X</b>		<b>X*</b>

**TOOELE DISTRICT, NCES ID #4901050**

SCHOOL NAME	NCES ID #	TIER I	TIER II	TIER III	GRAD RATE	NEWLY ELIGIBLE <sup>xvi</sup>
<b>Anna Smith Elementary</b>	<b>490105000578</b>			<b>X</b>		<b>X</b>
<b>Wendover High</b>	<b>490105000577</b>		<b>X</b>		<b>65%</b>	<b>X</b>
<b>Ibapah Elementary</b>	<b>490105000569</b>			<b>X</b>		<b>X*</b>

**UINTAH DISTRICT, NCES ID #4901080**

SCHOOL NAME	NCES ID #	TIER I	TIER II	TIER III	GRAD RATE	NEWLY ELIGIBLE <sup>xvii</sup>
<b>Eagle View Elementary</b>	<b>490108001270</b>	<b>X</b>				<b>X</b>

**WASHINGTON DISTRICT, NCES ID #4901140**

SCHOOL NAME	NCES ID #	TIER I	TIER II	TIER III	GRAD RATE	NEWLY ELIGIBLE <sup>xviii</sup>
<b>Coral Canyon Elementary</b>	<b>490114001132</b>			<b>X</b>		

**WAYNE DISTRICT ID #4901170**

SCHOOL NAME	NCES ID #	TIER I	TIER II	TIER III	GRAD RATE	NEWLY ELIGIBLE <sup>xix</sup>
<b>Hanksville Elementary</b>	<b>490117000608</b>			<b>X</b>		<b>X*</b>

**WEBER DISTRICT, NCES ID #4901200**

SCHOOL NAME	NCES ID #	TIER I	TIER II	TIER III	GRAD RATE	NEWLY ELIGIBLE <sup>xx</sup>
<b>Lakeview Elementary</b>	<b>49012000620</b>			<b>X</b>		<b>X</b>

**DUAL IMMERSION ACADEMY, NCES ID #4900073**

SCHOOL NAME	NCES ID #	TIER I	TIER II	TIER III	GRAD RATE	NEWLY ELIGIBLE <sup>xxi</sup>
<b>Dual Immersion Academy</b>	<b>490007301187</b>	<b>X</b>				

**FAST FORWARD CHARTER HS, NCES ID #4900019**

SCHOOL NAME	NCES ID #	TIER I	TIER II	TIER III	GRAD RATE	NEWLY ELIGIBLE <sup>xxii</sup>
<b>Fast Forward Charter HS</b>	<b>490001900906</b>		<b>X</b>		<b>66%</b>	<b>X</b>

**GATEWAY PREPARATORY ACADEMY CHARTER, NCES ID #4900122**

SCHOOL NAME	NCES ID #	TIER I	TIER II	TIER III	GRAD RATE	NEWLY ELIGIBLE <sup>xxiii</sup>
<b>Gateway Academy Charter</b>	<b>490012201214</b>			<b>X</b>		<b>X</b>

**ROCKWELL CHARTER HS, NCES ID #4900125**

SCHOOL NAME	NCES ID #	TIER I	TIER II	TIER III	GRAD RATE	NEWLY ELIGIBLE <sup>xxiv</sup>
<b>Rockwell Charter HS</b>	<b>490012501199</b>		<b>X</b>		<b>88%</b>	<b>X</b>

**PINNACLE CANYON ACADEMY, NCES ID #4900008**

SCHOOL NAME	NCES ID #	TIER I	TIER II	TIER III	GRAD RATE	NEWLY ELIGIBLE <sup>xxv</sup>
<b>Pinnacle Canyon Academy</b>	<b>490000800629</b>			<b>X</b>		<b>X</b>

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\*NOTE: Schools with an asterisk (\*) are schools excluded based on n size <40 and added to the Newly Eligible Tier III school list.

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**SCHOOLS SERVED WITH FY 2009 SIG FUNDS**

<b>LEA NAME</b>	<b>LEA NCES ID#</b>	<b>SCHOOL NAME</b>	<b>SCHOOL NCES ID#</b>	<b>TIER I</b>	<b>TIER II</b>	<b>TIER III</b>	<b>GRAD RATE</b>
Granite	4900360	Granger High	490036000218		X		79%
Ogden	4900720	Dee Elementary	490072000420	X			
Ogden	4900720	James Madison Elementary	490072001194	X			
Ogden	4900720	Odyssey Elementary	490072001201	X			
Salt Lake City	4900870	Glendale Middle School	490087000492		X		
Salt Lake City	4900870	Northwest Middle School	490087000512	X			
San Juan	4900900	Bluff Elementary	490090000528	X			

## Title I School Improvement Grant

### Background

States must submit a School Improvement Grant (SIG) application to the U.S. Department of Education by December 3, 2010. For the 2010-2011 grant cycle, Utah has approximately \$6,000,000 available with an additional \$5,000,000 anticipated over the next two years. These funds will be available to qualifying local education agencies (LEAs) on a competitive application basis. The amount of the LEA SIG grants must be a minimum of \$50,000 and may not exceed \$2,000,000 per school, per year (for up to three years). LEA participation in the Title I SIG process is voluntary. LEAs desiring to compete for these funds will be encouraged to attend a Bidders' Conference on January 11, 2011. LEA SIG Applications will be due February 28, 2011, with recipients notified by March 22, 2011.

### SEA Responsibilities

- Identify state's lowest-performing Title I eligible schools
- Prepare and submit an approvable state plan to the U.S. Department of Education by December 3, 2010
- Support a competitive grant process open to eligible LEAs
- Provide technical assistance to participating LEAs
- Monitor school improvement implementation and progress to determine continued LEA eligibility
- Hold LEAs and schools accountable for meeting, or being on track to meet, LEA student achievement goals
- Evaluate grant effectiveness

### LEA Responsibilities

- Determine which lowest-performing school(s) to include in the application process; LEAs must serve at least one Tier I and/or Tier II school in order to request funds for Tier III school(s)
- Determine which of the four intervention models will be implemented for each Tier I and Tier II school(s) included in the LEA application
- Establish annual student achievement goals in reading/language arts and mathematics for participating schools.
- Hold schools accountable for increasing student proficiency in each year funding is provided, for up to three years
- Complete competitive Title I School Improvement Grant application
- Provide leadership and technical assistance in the implementation of the school intervention model(s)
- Monitor school progress and provide required data and reports

### Intervention Models

Turnaround	Restart	Closure	Transformation
<ul style="list-style-type: none"> <li>• Teachers and Leaders               <ul style="list-style-type: none"> <li>○ Replace principal</li> <li>○ Replace at least 50% existing staff</li> </ul> </li> <li>• Instructional and Support Strategies</li> <li>• Time and Support</li> <li>• Governance</li> </ul>	LEA converts a school or closes and reopens a school under a charter school operator, a charter management organization (CMO), or an education management organization (EMO)	LEA closes a school and enrolls the students who attended that school in other higher achieving schools in the LEA <ul style="list-style-type: none"> <li>• Reasonable proximity</li> <li>• Civil Rights</li> </ul>	<ul style="list-style-type: none"> <li>• Teachers and Leaders               <ul style="list-style-type: none"> <li>○ Replace principal</li> <li>○ Implement new evaluation system                   <ul style="list-style-type: none"> <li>• Staff input</li> <li>• Student growth</li> </ul> </li> </ul> </li> <li>• Instructional and Support Strategies</li> <li>• Time and Support</li> <li>• Governance</li> </ul>



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## Utah Title I School Improvement Grant 2010 Survey Edit

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\* 1. Waver 1: Title I eligible high schools that are served with Title I funds and appear in the bottom quintile of all schools in the state are included as newly eligible Tier II schools. Do you support their inclusion on this list?

- Yes  
 No

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\* 2. Waver 2: Utah's application for the School Improvement Grant excludes schools that are so small there are less than 40 students in attendance. The majority of schools on this list are rural, frontier schools or special schools serving unique populations. Do you support their exclusion from Tier I or Tier II designation?

- Yes  
 No

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\* 3. Waver 4: If an LEA makes an application including a school currently in improvement, do you support the school exiting improvement status and receiving a fresh start in terms of AYP Title I guidelines?

Yes No[+ Add Question](#) ▼ [Split Page Here](#)Q4 [Edit Question](#) ▼ [Add Question Logic](#) [Move](#) [Copy](#) [Delete](#)

**\* 4. Waver 5: Do you agree the USOE should permit the LEAs to waive the 40% poverty eligibility threshold of ESEA to permit LEAs to implement a schoolwide program in a Tier I, Tier II, or Tier III Title I participating school that does not meet the poverty threshold and is fully implementing one of the four school intervention models?**

 Yes No[+ Add Question](#) ▼ [Split Page Here](#)Q5 [Edit Question](#) ▼ [Add Question Logic](#) [Move](#) [Copy](#) [Delete](#)

**\* 5. Waver 6: Do you support the period of eligibility for this grant to be implemented for three years rather than the two years currently available for most federal grant awards?**

 Yes No[+ Add Question](#) ▼[+ Add Page](#)

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Collector Name (Method)	Status	Responses	Last Response	Actions
SIG (Web Link)	● OPEN	0 responses	January 18, 2011 1:37 PM	<a href="#">Clear</a> <a href="#">Delete</a>

# School Improvement Grants Application

## Section 1003(g) of the Elementary and Secondary Education Act

CFDA Numbers: 84.377A; 84.388A



U.S. Department of Education  
Washington, D.C. 20202

OMB Number: 1810-0682  
Expiration Date: XX/XX/2010

### Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1810-0682. The time required to complete this information collection is estimated to average 100 hours per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4537. [OMB approval forthcoming]

APPLICATION COVER SHEET  
SCHOOL IMPROVEMENT GRANT (SIG)

Legal Name of Applicant:	Applicant's Mailing Address:
<p>LEA Contact for the School Improvement Grant</p> <p>Name:</p> <p>Position and Office:</p> <p>Contact's Mailing Address:</p> <p>Telephone:</p> <p>Fax:</p> <p>Email address:</p>	
LEA Superintendent or Charter School Director (Printed Name):	Telephone:
Signature of the LEA Superintendent or Charter School Director X_____	Date:
<p>The LEA, through its authorized representative, agrees to comply with all requirements applicable to the School Improvement Grants program, including the assurances contained herein and the conditions that apply to any waivers that the LEA receives through this application.</p>	

**STATE OF UTAH SCHOOL IMPROVEMENT GRANT 2010 LEA APPLICATION:  
REQUIREMENTS**

**Utah Definition of Persistently Lowest-Achieving Schools:**

**Tier I Schools:**

- Title I Served School;
- Identified in Need of Improvement, Corrective Action, or Restructuring under Title I; and
- Lowest 5% or 5 Schools, whichever is greater (in Utah - lowest 5 schools). Utah has no Title I high schools identified as in Need of Improvement, Corrective Action, or Restructuring. Thus, no Title I secondary schools with a graduation rate less than 60% are included in Tier I.

**Tier I Newly Eligible Schools:**

- Title I Eligible (Served or Not) Elementary School;
- 4-Year Average Reading/Language Arts and Math Proficiency (2006-07, 2007-08, 2008-09, 2009-10) in lowest quintile [for Utah: equal to or lower than the lowest performing school in Tier 1 (Dual Immersion at 42% proficiency)] **Note: USOE elected to use a subset of lowest performing elementary schools so that the neediest schools could be served;** and
- Not making expected progress (At least 180 on Utah Performance Assessment System for Students (UPASS) Progress Score – 3-year average from years 2007-08, 2008-09, 2009-10). The state of Utah did not weight “all student” group compared with subgroups.

**Tier II Schools:**

- Title I Eligible (Served or Not) Secondary School:
  - Lowest 5% or 5 Schools, whichever is greater (in Utah - lowest 5% schools equals seven (7) schools);
  - OR
  - Less than 60% graduation rate (Utah has no high schools identified as Tier II solely as a result of a graduation rate of less than 60%). Utah uses a cohort graduation rate for this definition.

**Tier II Newly Eligible Schools:**

- Title I Eligible (Served or Not) Secondary School:
  - 4-Year Average Reading/Language Arts and Math Proficiency in lowest quintile [for Utah: equal to or lower than the lowest performing school in Tier I (Dual Immersion Academy at 42% proficiency)];
  - Not making expected progress (Utah measure of expected progress is a score of at least 180 on UPASS Progress Score – 3-year average);
  - OR
  - Graduation Rate less than 60%.

**Tier III Schools:**

- Title I Served School; and
- Identified in Need of Improvement, Corrective Action, or Restructuring under Title I, but not in Tier I.

**Tier III Newly Eligible Schools:**

- Title I Eligible (Served or Not) elementary school;
- 4-Year Average Reading/Language Arts and Math Proficiency in lowest quintile [for Utah: Higher than lowest Tier I school (Dual Immersion Academy at 42% proficiency) and equal to or lower than the highest performing school in Tier I (Oquirrh Hills Elementary at 64% proficiency)] **Note: USOE elected to use a subset of lowest performing elementary schools so that the neediest schools could be served;** and
- Not making expected progress (At least 180 on UPASS Progress Score – 3-year average).
- Schools included on Tier III list that were excluded due to an n size < 40.

**LEA APPLICATION REQUIREMENTS**

**SCHOOLS TO BE SERVED:** An LEA must include the following information with respect to the schools it will serve with a School Improvement Grant.

An LEA must identify each Tier I, Tier II, and Tier III school the LEA commits to serve and identify the model that the LEA will use in each Tier I and Tier II school.

SCHOOL NAME	NCES ID #	TIER I	TIER II	TIER III	INTERVENTION (TIER I AND II ONLY)			
					turnaround	restart	closure	transformation

**PART I: DESCRIPTIVE INFORMATION**

The actions listed in Part I are ones that an LEA must take prior to submitting its application for a School Improvement Grant.

**A. The LEA has analyzed the needs of each Tier I and Tier II school identified in the LEA’s application and has selected an intervention for each school.**

1. The state of Utah requires that any LEA making application for the School Improvement Grants 1003g must analyze the needs of each Tier I and Tier II school for which it applies

that appears on the state's identified Tier I and Tier II list. Included in the analysis of each school, the LEA should consider the following:

- a. The percent of students scoring proficient for Language Arts and Mathematics (LEAs are to consider overall school and subgroup achievement);
  - b. Trend data for both Language Arts and Mathematics (LEAs are to consider overall school and subgroup achievement);
  - c. Demographic information relevant to the school's achievement in Language Arts and Mathematics;
  - d. Contextual data of the school (attendance, graduation and dropout rates, discipline reports, parent and community surveys);
  - e. Teacher information (teacher attendance, turnover rates, teaching assignments aligned with highly qualified teacher status, teacher education, experience, and performance evaluations);
  - f. Administrator information (how long the administrator has been at the building, or the replacement of the principal as required in the Turnaround or Transformation models, administrator education, experience, and performance evaluation); and
  - g. Effectiveness of prior school reform efforts.
2. Based on the analysis of the above data **select**, design, and implement interventions consistent with the final federal requirements.
    - a. Identify the intervention model chosen for each school; and
    - b. Provide the rationale for the model chosen for each school.
  3. The LEA must include in its SIG application information that describes how it will implement with fidelity each of the requirements associated with the intervention model(s) selected for its eligible schools. This information includes the following:
    - a. Description of how the LEA will successfully implement each requirement;
    - b. Any steps already taken by the LEA to initiate school improvement efforts that align with SIG intervention models; and
    - c. The LEA includes a detailed timeline for implementation of the school intervention model.
  4. The LEA must describe the annual goals (Goals must be specific, measurable, attainable, realistic and time-based (SMART) for student achievement on the State's assessments in both reading/language arts and mathematics that it has established in order to monitor its Tier I and Tier II schools that receive school improvement funds.
  5. The LEA must describe the goals it has established (subject to approval by the SEA) in order to hold accountable its Tier III schools that receive school improvement funds.
  6. For each Tier III school the LEA commits to serve, the LEA must identify the services the school will receive or the activities the school will implement.
  7. As appropriate, the LEA must consult with relevant stakeholders regarding the LEA's application and implementation of school improvement models in its Tier I and Tier II schools.

In reviewing LEA SIG applications, the USOE will use the following criteria to identify approvable applications in the area of LEA analysis of Tier I and Tier II schools to determine appropriate intervention model. Only those LEA SIG applications that have a proficient analysis will be considered.

**Inadequate analysis:**

- **Little to no** relevant data or few relevant data sources have been provided and/or the analysis is lacking or minimal.
- The fit between the needs of the school and the model chosen is **lacking, minimal, or general** in nature.

**Proficient analysis:**

- **Multiple** relevant data sources have been combined into a thoughtful analysis.
- The fit between the needs of the school and the model chosen is **specifically and conclusively** demonstrated.

**B. The LEA has demonstrated that it has the capacity to use school improvement funds to provide adequate resources and related support to each Tier I and Tier II school identified in the LEA's application in order to implement fully and effectively the selected intervention model in each of those schools.**

1. The LEA has identified how it will provide leadership and support to each Tier I and Tier II school identified in the LEAs application. The description will include the following information on how the LEA will successfully implement the school intervention model:
  - a. Identify the LEA staff assigned to support implementation of the school intervention model;
  - b. Describe how the LEA will provide technical assistance to make sure each school is successful;
  - c. Identify the fiscal resources (local, state, and federal) that the LEA will commit to implementation;
  - d. Identify the process through which the LEA will involve the school/community in full implementation of the plan;
  - e. Describe how the local school board will be engaged to ensure successful implementation (including the prioritization or revision of appropriate board policies and allocation of resources);
  - f. Describe how the LEA will evaluate the effectiveness of the reform strategies;
  - g. Describe how the LEA will monitor student achievement by individual teacher/classrooms; and
  - h. If student achievement results do not meet expected goals, describe how the LEA will assist in necessary plan revisions.
2. If the LEA is not applying to serve each Tier I school, the LEA must explain why it lacks capacity to serve each Tier I school.

In reviewing LEA SIG applications, the USOE will use the following criteria to identify approvable applications in the area of demonstrating the LEA capacity to fully and effectively implement the selected intervention model. Only those LEA SIG applications that have a proficient demonstrated capacity will be considered.

**Inadequate demonstrated capacity (scored 1 or 2 on the Checklist):**

- None, few, some, or most of the defined capacity criteria relevant to the school's selected intervention model have been adequately addressed.

**Proficient demonstrated capacity (scored 3 or 4 on the Checklist):**

- **All** of the defined capacity criteria relevant to the school's selected intervention model have been adequately addressed.

**C. The LEA must include in its SIG application its intention to declare whether or not it intends to contract with an external provider and provide sufficient information describing how it will select and contract with proven external providers to support the LEA and the school(s) in the implementation of the intervention model(s). This includes the following:**

1. Chooses to contract with external providers:

- a. A description of how the LEA will contract with an external provider, including a description of how the LEA will recruit, screen, and select external providers;
- b. If the LEA has already selected an external provider, the LEA must provide evidence that the external provider has a demonstrated record of success and the expected services that the contractor will provide; and
- c. A narrative description to support external provider contracts, if applicable.
- d. The LEA is **encouraged** to use an experienced School Support Team Leader who is external to the LEA. An SST Leader could assist the school in the implementation of the intervention model. Should the LEA choose to use an external SST leader, a list of approved School Support Team Leaders can be found at <https://usoe.edgateway.net/cs/sst/print/htdocs/sst/home.htm>.

2. Chooses not to contract with external providers:

- a. If the LEA has chosen not to contract with an external provider, the LEA must provide documentation that it has sufficient internal capacity to conduct a research-based school appraisal using the USOE Title I System of Support Handbook tools. The LEA is **encouraged** to use an experienced School Support Team Leader who is external to the LEA. An SST Leader could assist the school in the implementation of the intervention model. Should the LEA choose to use an external SST leader, a list of approved School Support Team Leaders can be found at <https://usoe.edgateway.net/cs/sst/print/htdocs/sst/home.htm>.

In reviewing LEA SIG applications, the USOE will evaluate the LEA's commitment to recruit, screen, and select external providers, if applicable. USOE will use the following criteria to identify approvable applications in the area of external provider selection process should an LEA choose to use an external provider:

- Detailed and relevant criteria for determining need for external provider contract and selecting external providers that take into account the specific needs of the Tier I and/or Tier II schools to be served by external providers. These criteria may include, but are not limited to:
- Analysis of the LEA's capacity and operational needs.
- Researching and prioritizing the external providers available to serve the school.
  - Consider and analyze the external provider market.
  - Contact other LEAs currently or formerly engaged with the external provider regarding their experience.
  - A proven track record of success working with a particular population or type of school. For example, success in working with high schools or English Language Learners.
- Alignment between external provider services and existing LEA services.
  - Delineating clearly the respective responsibilities and expectations to be assumed by the external provider and the LEA.
- Willingness of the external provider to be held accountable to high performance standards.
- Capacity of the external provider to serve the identified school and its selected intervention model.
- LEA provides a description of the timely steps it will take to recruit and screen providers to be in place by the beginning of the 2011-12 school year.

**Inadequate demonstrated capacity (scored 1 or 2 on the Checklist):**

- The responsibilities of the external provider and the LEA are **not defined, minimally, or generally** aligned.  
Available providers have **not been or only generally researched**.
- The identified external provider **does not have a proven track record, this has not been addressed**, or the **track record does not align with the needs of the school**.
- The LEA has **not specifically indicated how** it will hold the external provider accountable to high performance standards.
- The capacity of the external provider to serve the identified school has **not been clearly addressed**.
- The LEA has not provided a clear timeline to recruit, screen, and contract with an external provider as appropriate.

**Proficient demonstrated capacity (scored 3 or 4 on the Checklist):**

- The responsibilities of the external provider and the LEA are **clearly defined** and aligned.
- Available providers have been **thoroughly** researched.
- The provider identified has a proven track record of success in working with **similar schools and/or student populations**.
- The LEA has **specifically** planned how it will hold the external provider accountable to high performance standards.
- The capacity of the external provider to serve the identified school has been **clearly demonstrated**.
- The LEA has provided a clear timeline to recruit, screen, and contract with an external provider as appropriate.

**D. Modify its practices or policies, if necessary, to enable it to implement the interventions fully and effectively.**

1. The LEA SIG application **must demonstrate** that the LEA has identified potential practices and/or policies that may serve as barriers to successful implementation of intervention strategies. Competitive applications include the following:
  - a. A list of practices and/or policies that may serve as barriers to successful implementation;
  - b. Proposed steps to modify identified practices and/or policies to minimize barriers;
  - c. A procedure in place to identify and resolve future issues related to practices and/or policies; and
  - d. Description of how the LEA will collaborate with key stakeholders to implement necessary changes (e.g. associations, administrators, local board of education, parents and other key stakeholders).

In reviewing LEA SIG applications, the USOE will evaluate the LEA's commitment to modify its practices or policies, if necessary, to enable it to implement the interventions fully and effectively. Only those LEA SIG applications that have a proficient description of how the LEA identifies potential barriers and how it addresses them will be considered. USOE will use the following criteria to identify approvable applications:

**Inadequate LEA commitment to modify its practices and policies (scored 1 or 2 on the Checklist):**

- The barriers to successful implementation of interventions are **not defined, minimally, or generally** defined.
- The plan to address the identified barriers is **not clearly defined**.
- The LEA description **does not demonstrate** sufficient commitment to work with **key stakeholder groups** to modify practices and policies, as necessary.

**Proficient LEA commitment to modify its practices and policies (scored 3 or 4 on the Checklist):**

- The barriers to successful implementation of interventions are **clearly defined**.
- The plan to address the identified barriers is **clearly defined**.
- The LEA description **demonstrates** sufficient commitment to work with **key stakeholder groups** to modify practices and policies, as necessary.

**E. Sustain the reforms after the funding period ends.**

1. The LEA SIG application must demonstrate that the LEA has a plan to sustain the improvements achieved through the SIG process when the funding period ends. Competitive applications include the following:
  - a. A list of the ongoing supports needed to sustain school improvement after the funding period ends;
  - b. A description of the anticipated resources that will be committed to meet the needs identified above; and
  - c. The written assurance of the superintendent/charter school leader and the local school board that continued support will be provided.

## Part II: BUDGET

**An LEA must include a budget that indicates the amount of school improvement funds the LEA will use each year in each Tier I, Tier II, and Tier III school it commits to serve. NOTE: The amount of funds applied for must include a planned budget for each year of the three years of the grant. The LEA may apply for a minimum of \$50,000 per year per school for each of the three years of the grant up to a maximum of \$2,000,000 per year per school for each of the three years for a total of no more than \$6,000,000 over three years.**

- A. The LEA's budget includes sufficient funds to implement the selected intervention fully and effectively in each Tier I and Tier II school identified in the LEA's application as well as to support school improvement activities in Tier III schools throughout the period of availability of those funds (taking into account any waiver extending that period received by either the SEA or the LEA). Quality budgets include the following:
1. The LEA provides a budget for each of the **three years** of the grant;
  2. For each school included in the SIG application, the budget provides costs associated with the successful implementation of the intervention model selected (e.g. extended learning time, professional development, teacher recruitment and retention);
  3. If the LEA plans to apply for SIG funds to support LEA efforts, the budget includes costs associated with LEA leadership and support of the school intervention models;
  4. The LEA budget includes costs for purchased professional services to ensure quality consultants to facilitate research-based reform;
  5. The budget detail provides sufficient information to support budget requests; and
  6. The LEA has considered any costs associated with program evaluation annually;
  7. The LEA budget must include information regarding school improvement activities at the school or LEA level, for each Tier III school identified in the LEA's application.

**NOTE: The SEA will annually review each LEAs budget prior to renewal of the grant.**

- B. Align other resources with the interventions in the budget detail section of the application. The LEA SIG application must demonstrate that the LEA has committed other local, state, and federal resources to support successful implementation of the intervention model. A competitive LEA SIG application must include the following information:
1. A list of the financial resources that will support the intervention model (e.g., local, state, federal funds, and other private grants, as appropriate);
  2. A description of how each of the financial resources listed above will support the goals of the school reform effort; and
  3. A description of how LEA program personnel will collaborate to support student achievement and school reform.
- C. If applicable, the LEA has included costs associated with approvable pre-implementation activities designed to assist the LEA and school(s) in preparing for full implementation when the 2011-2012 school year begins.

1. All pre-implementation strategies and activities must have prior approval from the SEA and use the funds in accordance with Title I allowable expenditures. The activities listed below are intended to be examples only. The focus of the activity should be its relationship to the needs of the school and the intervention model chosen for the school. Examples of allowable pre-implementation activities:
  - a. **Family and Community Engagement:** Hold community meetings to review school performance, discuss the school intervention model to be implemented, and develop school improvement plans in line with the intervention model selected; survey students and parents to gauge needs of students, families, and the community; communicate with parents and the community about school status, improvement plans, choice options, and local service providers for health, nutrition, or social services through press releases, newsletters, newspaper announcements, parent outreach coordinators, hotlines, and direct mail; assist families in transitioning to new schools if their current school is implementing the closure model by providing counseling or holding meetings specifically regarding their choices; or hold open houses or orientation activities specifically for students attending a new school if their prior school is implementing the closure model.
  - b. **Rigorous Review of External Providers:** Properly recruit, screen, and select any external providers that may be necessary to assist in planning for the implementation of an intervention model.
  - c. **Staffing:** Recruit and hire the incoming principal, leadership team, instructional staff, and administrative support; or evaluate the strengths and areas of need of current staff.
  - d. **Instructional Programs:** Provide remediation and enrichment to students in schools that will implement an intervention model at the start of the 2011-2012 school year through programs with evidence of raising achievement; identify and purchase instructional materials that are research-based, aligned with State academic standards, and have data-based evidence of raising student achievement; or compensate staff for instructional planning, such as examining student data, developing a curriculum that is aligned to State standards and aligned vertically from one grade level to another, collaborating within and across disciplines, and devising student assessments.
  - e. **Professional Development and Support:** Train staff on the implementation of new or revised instructional programs and policies that are aligned with the school's comprehensive instructional plan and the school's intervention model; provide instructional support for returning staff members, such as classroom coaching, structured common planning time, mentoring, consultation with outside experts, and observations of classroom practice, that is aligned with the school's comprehensive instructional plan and the school's intervention model; or train staff on the new evaluation system and locally adopted competencies.
  - f. **Preparation for Accountability Measures:** Develop and pilot a data system for use in SIG-funded schools; analyze data on leading baseline indicators; or develop and adopt interim assessments for use in SIG-funded schools.

### PART III: ASSURANCES

#### An LEA must include the following assurances in its application for a School Improvement Grant.

The LEA must assure that it will follow U.S. Department of Education assurances:—

- Use its School Improvement Grant to implement fully and effectively an intervention in each Tier I and Tier II school that the LEA commits to serve consistent with the final requirements;
- Establish annual goals for student achievement on the State’s assessments in both reading/language arts and mathematics and measure progress on the leading indicators in section III of the final requirements in order to monitor each Tier I and Tier II school that it serves with school improvement funds, and establish goals (approved by the SEA) to hold accountable its Tier III schools that receive school improvement funds;
- If it implements a restart model in a Tier I or Tier II school, include in its contract or agreement terms and provisions to hold the charter operator, charter management organization, or education management organization accountable for complying with the final requirements; and
- Report to the SEA the school-level data required under section III of the final requirements.

Utah State Office of Education assurances:

- The written assurance of the superintendent/charter school leader and the local school board that continued support will be provided.
- The LEA must assure that a school appraisal will be conducted using the USOE Title I System of Support Handbook tools. If the LEA has chosen not to contract with an external provider, the LEA must provide documentation that it has sufficient internal capacity to conduct a research-based school appraisal using the USOE Title I System of Support Handbook tools. The LEA is **encouraged** to use an experienced School Support Team Leader who is external to the LEA. An SST Leader could assist the school in the implementation of the intervention model. Should the LEA choose to use an external SST leader, a list of approved School Support Team Leaders can be found at <https://usoe.edgateway.net/cs/sst/print/htdocs/sst/home.htm>.

#### **PART IV: WAIVERS**

**If the SEA has requested any waivers of requirements applicable to the LEA’s School Improvement Grant, an LEA must indicate which of those waivers it intends to implement.**

The LEA must check each waiver that the LEA will implement. If the LEA does not intend to implement the waiver with respect to each applicable school, the LEA must indicate for which schools it will implement the waiver.

- “Starting over” in the school improvement timeline for Tier I and Tier II Title I participating schools implementing a turnaround or restart model.
- Implementing a schoolwide program in a Tier I or Tier II Title I participating school that does not meet the 40 percent poverty eligibility threshold.

# Utah LEA School Improvement Grant Review Checklist

## COVER SHEET

LEA Name: \_\_\_\_\_

Reviewer Number: \_\_\_\_\_

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Points awarded to this application     /180

Reviewer's overall comments:

## Utah LEA School Improvement Grant Review Checklist

**Descriptive Information Part I**  
 The LEA has analyzed the needs of each Tier I and Tier II school identified in the LEA's application and has selected an intervention for each school.

**LEA Name:** \_\_\_\_\_ **Reviewer Number:** \_\_\_\_\_  
**1= provides no data 2=provides limited data 3=provides most data 4=provides all data**

The percent of students scoring proficient for Language Arts and Mathematics includes overall school and subgroup achievement.	Rating: 1 2 3 4 Comments:
Trend data for both Language Arts and Mathematics for the overall school and subgroup achievement is included.	Rating: 1 2 3 4 Comments:
Demographic information is complete and includes all relevant data.	Rating: 1 2 3 4 Comments:
Contextual data is complete and includes all relevant data.	Rating: 1 2 3 4 Comments:
Teacher information is complete and includes all relevant data.	Rating: 1 2 3 4 Comments:
Administrator information is complete and includes all relevant data.	Rating: 1 2 3 4 Comments:
Effectiveness of prior school reform efforts is included.	Rating: 1 2 3 4 Comments:

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## Utah LEA School Improvement Grant Review Checklist

### Descriptive Information Part I

Based on the analysis of the data, select, design, and implement the interventions consistent with the final federal requirements.

LEA Name: \_\_\_\_\_ Reviewer Number: \_\_\_\_\_

**1= provides no information 2=provides limited information 3=provides most information 4=provides all information and rationale**

Identify the intervention model chosen for each school.	Rating: 1 2 3 4 Comments:
Provide the rationale for the model chosen for each school.	Rating: 1 2 3 4 Comments:
Describe how the LEA will implement with fidelity each of the requirements associated with the intervention model(s) selected its eligible schools.	Rating: 1 2 3 4 Comments:
Provide sufficient information describing how the LEA will successfully implement each requirement.	Rating: 1 2 3 4 Comments:
Describe any steps already taken by the LEA to initiate school improvement efforts that align with SIG intervention models.	Rating: 1 2 3 4 Comments:
Provides a detailed timeline for implementation of the school intervention model chosen for each school the LEA intends to serve.	Rating: 1 2 3 4 Comments:

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## Utah LEA School Improvement Grant Review Checklist

### Descriptive Information Part I

The LEA must describe the annual SMART goals for student achievement on the State’s assessments in both reading/language arts and mathematics that it has established in order to monitor its Tier I and Tier II schools that receive school improvement funds.

LEA Name: \_\_\_\_\_ Reviewer Number: \_\_\_\_\_

**1= provides no information 2=provides limited information 3=provides most information 4=provides all information and rationale**

The LEA has described annual SMART goals on the State’s CRTs in reading/language arts.	Rating: 1 2 3 4 Comments:
The LEA has described annual SMART goals on the State’s CRTs in mathematics.	Rating: 1 2 3 4 Comments:
The LEA describes annual goals that it has established in order to hold accountable its Tier III schools that received school improvement funds.	Rating: 1 2 3 4 Comments:
For each Tier III school the LEA commits to serve, the LEA must identify the services the school will receive or the activities the school will implement.	Rating: 1 2 3 4 Comments:
The LEA has consulted with relevant stakeholders regarding the LEA’s application and implementation of its Tier I and Tier II schools.	Rating: 1 2 3 4 Comments:

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## Utah LEA School Improvement Grant Review Checklist

### Descriptive Information Part I

The LEA has demonstrated that it has the capacity to use school improvement funds to provide adequate resources and related support to each Tier I and Tier II school identified in the LEA's application in order to implement fully and effectively the selected intervention model in each of those schools.

LEA Name: \_\_\_\_\_ Reviewer Number: \_\_\_\_\_

**1= provides no information 2=provides limited information 3=provides most information 4=provides all information and rationale**

The LEA has identified how it provides leadership and support to each Tier I and Tier II school identified in the application.	Rating: 1 2 3 4 Comments:
The LEA has identified LEA staff assigned to support implementation of the school improvement model.	Rating: 1 2 3 4 Comments:
The LEA has described how it will provide technical assistance to ensure each school is successful.	Rating: 1 2 3 4 Comments:
The LEA has identified the fiscal resources (local, state, and federal) that will be committed to ensure full implementation.	Rating: 1 2 3 4 Comments:
The LEA describes the process to involve the school and the community in full implementation of the school's plan.	Rating: 1 2 3 4 Comments:
The LEA has described how the local school board will be engaged to ensure successful implementation (including the prioritization or revision of appropriate board policies and allocation of resources).	Rating: 1 2 3 4 Comments:
The LEA has described how it will evaluate the effectiveness of the reform strategies.	Rating: 1 2 3 4 Comments:
The LEA has described how it will monitor student achievement by individual teacher/classrooms.	Rating: 1 2 3 4 Comments:
If student achievement results do not meet expected goals, the LEA has a plan to make necessary revisions.	Rating: 1 2 3 4 Comments:
If the LEA is not applying to serve each Tier I school, an explanation is provided regarding why it lacks capacity to serve each Tier I school.	Applicable to this applicant and has been addressed: Yes No Comments:

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## Utah LEA School Improvement Grant Review Checklist

**Descriptive Information Part I**  
**The LEA has declared its intention to contract with an external provider.**

**LEA Name:** \_\_\_\_\_ **Reviewer Number:** \_\_\_\_\_

**1= provides no information 2=provides limited information 3=provides most information 4=provides all information and rationale**

<p><u>Chooses to contract with external providers:</u></p> <ul style="list-style-type: none"> <li>• A description of how the LEA will contract with an external provider, including a description of how the LEA will recruit, screen, and select external providers;</li> <li>• If the LEA has already selected an external provider, the LEA must provide evidence that the external provider has a demonstrated record of success and the expected services that the contractor will provide; and</li> <li>• A <b>narrative description and budget</b> to support external provider contracts, if applicable.             <ul style="list-style-type: none"> <li><input type="checkbox"/> The LEA must assure that a school appraisal will be conducted using the USOE Title I System of Support Handbook tools. This appraisal must be conducted by an experienced School Support Team leader who is external to the LEA. A list of approved School Support Team Leaders can be found at <a href="https://usoe.edgateway.net/cs/sst/print/htdocs/sst/home.htm">https://usoe.edgateway.net/cs/sst/print/htdocs/sst/home.htm</a></li> </ul> </li> </ul>	<p><b>NOTE: An LEA will receive a maximum of 4 points on this page. Either the LEA chooses to use an external provider or not.)</b></p> <p>Rating: 1 2 3 4            Comments:</p>
<p><u>Chooses not to contract with external providers:</u></p> <ul style="list-style-type: none"> <li>• If the LEA has chosen not to contract with an external provider, the LEA must provide documentation that it has sufficient internal capacity to conduct a research-based school appraisal using the USOE Title I System of Support Handbook tools. This appraisal must be conducted in conjunction with an experienced School Support Team Leader who is external to the LEA. The SST Leader will assist the school in the implementation of the intervention model. A list of approved School Support Team Leaders can be found at <a href="https://usoe.edgateway.net/cs/sst/print/htdocs/sst/home.htm">https://usoe.edgateway.net/cs/sst/print/htdocs/sst/home.htm</a>.</li> </ul>	<p><b>NOTE: An LEA will receive a maximum of 4 points on this page. Either the LEA chooses to use an external provider or not.)</b></p> <p>Rating: 1 2 3 4            Comments:</p>

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## Utah LEA School Improvement Grant Review Checklist

<b>Descriptive Information Part I</b> The LEA's local school board will identify and modify its practices or policies, if necessary, to enable it to implement the interventions fully and effectively.	
<b>LEA Name:</b> _____ <b>Reviewer Number:</b> _____ <b>1= provides no information 2=provides limited information 3=provides most information 4=provides all information and rationale</b>	
The LEA has identified and clearly defined practices and/or policies that may serve as barriers to successful implementation.	Rating: 1 2 3 4 Comments:
The LEA has described and clearly defined proposed steps to modify identified practices and/or policies to minimize barriers.	Rating: 1 2 3 4 Comments:
The LEA has described its procedure to identify and resolve future issues related to practices and/or policies that may serve as barriers to full implementation.	Rating: 1 2 3 4 Comments:
The LEA describes how it will collaborate with key stakeholders (e.g., associations, administrators, local board of education, parents and other key stakeholders) to implement necessary changes to practices, policies, and procedures.	Rating: 1 2 3 4 Comments:

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## Utah LEA School Improvement Grant Review Checklist

**Descriptive Information Part I**  
 The LEA, with support of the local board of education, has plans for how the reforms will be sustained after the funding period ends.

<b>LEA Name:</b> _____ <b>Reviewer Number:</b> _____ <b>1= provides no information 2=provides limited information 3=provides most information 4=provides all information and rationale</b>	
The LEA includes a list of the ongoing supports needed to sustain school improvement after the funding period ends.	Rating: 1 2 3 4 Comments:
The LEA describes and enumerates the anticipated resources that will be committed to meet the needs identified above.	Rating: 1 2 3 4 Comments:
The LEA included a written assurance from the superintendent or charter school leader that s/he will continue to support the implementation and refinement of the intervention model(s) described in the LEA application.	Rating: 1 2 3 4 Comments:
The LEA included a written assurance from the local school board that it will continue to support the implementation and refinement of the intervention model(s) described in the LEA application.	Rating: 1 2 3 4 Comments:

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## Utah LEA School Improvement Grant Review Checklist

### Part II Budget Information

The LEA's budget includes sufficient funds to implement the selected intervention fully and effectively in each Tier I and Tier II school identified in the LEA's application as well as to support school improvement activities in Tier III schools throughout the period of availability of those funds.

LEA Name: \_\_\_\_\_ Reviewer Number: \_\_\_\_\_

**1= provides no information 2=provides limited information 3=provides most information 4=provides all information and rationale**

The LEA provides a budget for each of the three years of the grant for each school included in the SIG application.	Rating: 1 2 3 4 Comments:
For each school included in the SIG application, the budget provides costs associated with the successful implementation of the intervention model selected. (e.g., extended learning time, professional development, teacher recruitment and retention, etc.)	Rating: 1 2 3 4 Comments:
If the LEA plans to apply for SIG funds to support LEA efforts, the budget includes costs associated with LEA leadership and support of the school intervention models.	Rating: 1 2 3 4 Comments:
The LEA budget includes costs for purchased professional services to ensure quality consultants to facilitate research-based reform.	Rating: 1 2 3 4 Comments:
Budget details provide sufficient information to support budget requests.	Rating: 1 2 3 4 Comments:
The LEA has considered any costs associated with program evaluation.	Rating: 1 2 3 4 Comments:

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## Utah LEA School Improvement Grant Review Checklist

### Part II Budget Information

The LEA has aligned other local, state, and federal resources with the SIG award to fund the intervention model it intends to implement.

LEA Name: \_\_\_\_\_ Reviewer Number: \_\_\_\_\_

**1= provides no information 2=provides limited information 3=provides most information 4=provides all information and rationale**

<p>The LEA has provided a list of the financial resources and the amounts allocated to support the intervention model (e.g. local, state, federal funds, and other private grants, as appropriate).</p>	<p>Rating: 1 2 3 4 Comments:</p>
<p>The LEA has described how each of the financial resources listed above will support the requirements of the selected intervention model(s).</p>	<p>Rating: 1 2 3 4 Comments:</p>
<p>The LEA has described how LEA program personnel will collaborate to support student achievement and school reform.</p>	<p>Rating: 1 2 3 4 Comments:</p>

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## Utah LEA School Improvement Grant Review Checklist

Supplemental Budget Information for LEAs choosing to implement approvable pre-implementation activities designed to assist the LEA and school(s) in preparing for full implementation when the 2011-2012 school year begins. NOTE: Ratings listed are for LEA information only and will not be added to the LEAs overall point total. THE FOCUS OF THE ACTIVITY MUST BE ITS REALTIONSHIP TO THE NEEDS OF THE SCHOOL AND THE SELECTED INTERVENTION MODEL.

LEA Name: \_\_\_\_\_

Reviewer Number: \_\_\_\_\_

**1= Directly related to full and effective implementation 2=Addresses the needs identified by the LEA 3=Will advance the overall goal of improved student achievement 4=Reasonable costs associated with the full implementation of the improvement model**

Description and costs associated with family and community engagement activities	Comments: 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4 <input type="checkbox"/>
Description and costs associated with rigorous review of external providers.	Comments: 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4 <input type="checkbox"/>
Description and costs associated with staffing	Comments: 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4 <input type="checkbox"/>
Description and costs associated with instructional programs	Comments: 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4 <input type="checkbox"/>
Description and costs associated with professional development and support	Comments: 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4 <input type="checkbox"/>
Description and costs associated with preparation for accountability measures	Comments: 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4 <input type="checkbox"/>
Description and costs associated with other allowable activities:	Comments: 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4 <input type="checkbox"/>

## Utah LEA School Improvement Grant Review Checklist

### ASSURANCES: An LEA must include the following assurances in its application for a School Improvement Grant.

The LEA must assure that it will—

- Use its School Improvement Grant to implement fully and effectively an intervention in each Tier I and Tier II school that the LEA commits to serve consistent with the final requirements;
- Establish annual goals for student achievement on the State’s assessments in both reading/language arts and mathematics and measure progress on the leading indicators in section III of the final requirements in order to monitor each Tier I and Tier II school that it serves with school improvement funds, and establish goals (approved by the SEA) to hold accountable its Tier III schools that receive school improvement funds;
- If it implements a restart model in a Tier I or Tier II school, include in its contract or agreement terms and provisions to hold the charter operator, charter management organization, or education management organization accountable for complying with the final requirements; and
- The written assurance of the superintendent/charter school leader and the local school board that continued support will be provided.
- Report to the SEA the school-level data required under section III of the final requirements.
- The LEA must assure that a school appraisal will be conducted using the USOE Title I System of Support Handbook tools. This appraisal must be conducted by an experienced School Support Team leader who is external to the LEA. A list of approved School Support Team Leaders can be found at <https://usoe.edgateway.net/cs/sst/print/htdocs/sst/home.htm>

## Utah LEA School Improvement Grant Review Checklist

**WAIVERS: If the SEA has requested any waivers of requirements applicable to the LEA's School Improvement Grant, an LEA must indicate which of those waivers it intends to implement.**

The LEA must check each waiver that the LEA will implement. If the LEA does not intend to implement the waiver with respect to each applicable school, the LEA must indicate for which schools it will implement the waiver.

- “Starting over” in the school improvement timeline for Tier I and Tier II Title I participating schools implementing a turnaround or restart model.
- Implementing a schoolwide program in a Tier I or Tier II Title I participating school that does not meet the 40 percent poverty eligibility threshold.